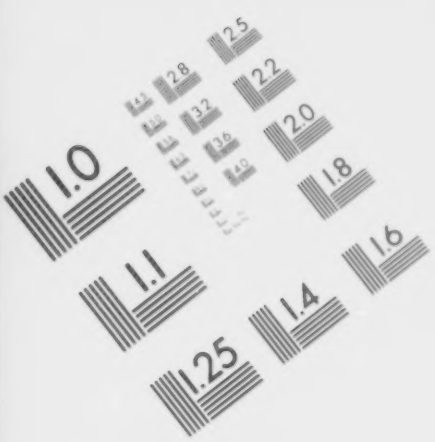

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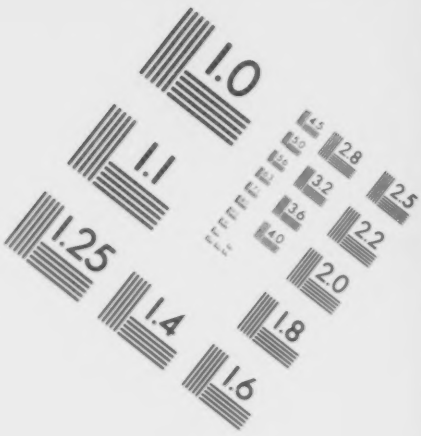

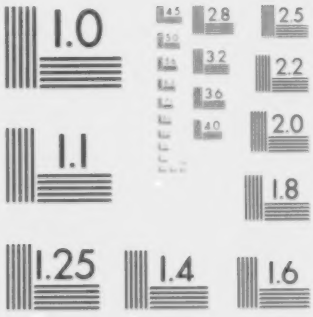

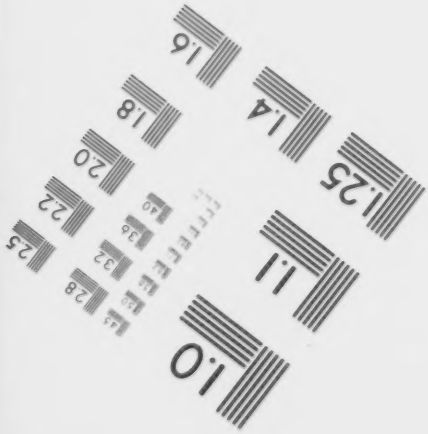

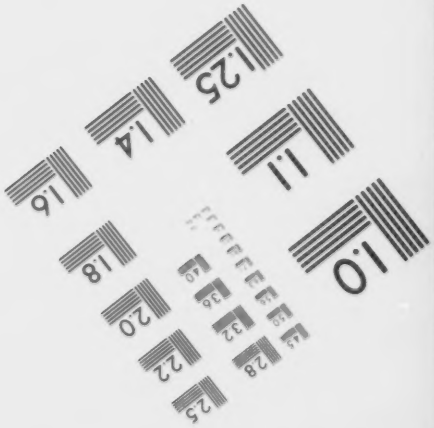

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ABSTRACT

As a result of the evolving concept and practice of the Comprehensive System of Personnel Development (CSPD) required by federal law, this resource has been produced to introduce leaders of special education and related services to the concepts of strategic planning and planned change for the CSPD. It contains information, resources, and examples that will assist state leaders to position themselves to plan for and manage change, rather than react to it. Chapter 1 provides background information and an evolutionary description and definition of the CSPD. Chapter 2 presents context information and a general discussion of the principles of strategic planning and change, and it describes how these concepts apply to aspects of the CSPD. Chapter 3 discusses implications of realizing the CSPD through strategic planning and planned change for state education agencies. Chapter 4 provides a general scenario for applying strategic planning and planned change principles to the CSPD. The last section, practical resource materials, contains a number of practical resources (short activities, checklists, sets of questions, visuals, and other practical instruments) summarized from the literature on strategic planning and planned change. Among the topics of these resource materials are the following: an eight step strategic planning process, parallel architecture, action research, trend analysis, the concerns-based adoption model, and screening promising practices for adoption. (45 references) (RR)

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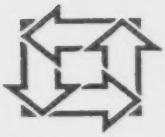

Planned Change for Personnel Development:

Strategic Planning and the CSPD

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Planned Change for Personnel Development:

Strategic Planning and the CSPD

Developed by:
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May 1991

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PLANNED CHANGE FOR PERSONNEL DEVELOPMENT:

STRATEGIC PLANNING AND THE CSPD

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INTRODUCTION

OVERVIEW

Why strategic planning and planned change are needed

The development of *Planned Change for Personnel Development: Strategic Planning and the CSPD* was motivated by a number of factors. The Comprehensive System of Personnel Development (CSPD) is a requirement of federal law that rests with the special education authority of state education agencies (and with other lead agencies responsible for the Part H early intervention requirements of Public Law 99-457). In the simplest terms, the CSPD is concerned with bringing about and maintaining an adequate supply of competent people for special education and related services, who are deployed equitably across urban, suburban, rural and remote locations. State education agencies, local education agencies, institutions of higher education, and other public and private agencies and organizations have worked together in meeting the requirements of the law. For the most part, states have conquered the CSPD paperwork requirements, yet personnel development problems and issues continue to surface and demand attention from state leadership.

Many states continue to report increasing numbers of personnel vacancies and emergency waivers granted to teachers and service providers. Several reports and studies have highlighted the problems states are facing in accurately assessing personnel supply and demand, and in developing teacher recruitment and retention efforts. Preservice teacher training programs have come under critical review because of national concern about teacher education, and there is growing emphasis on teacher accountability and effectiveness in the classroom. Consumers — parents, students, the business community, local and state public school administrators, and teachers themselves — are attempting to address the interlocking issues of personnel quality and quantity.

Concurrently, states are experiencing the effects of other political, social, economic and technological factors upon personnel development efforts. The passage of P.L. 99-457 (Part H) represents a major effort to provide comprehensive services to infants, toddlers and their families, and requires participating lead agencies in the states to develop comprehensive personnel development systems for early intervention personnel. This requirement has resulted in a number of states developing two distinctly separate, yet parallel CSPD operations. Further, the nation's demography and conditions affecting its children are changing rapidly, resulting in dramatic changes in the school population. The fiscal resources needed for states and localities

to adequately these issues are shrinking, and, at the present time, a number of state governments face budget deficits.

These forces have elevated the importance of the CSPD. Across the country, these concerns have resulted in an emerging conceptual understanding of the CSPD as a process, rather than a collection of components (inservice, preservice, participatory planning, needs assessment, etc.,) or a product (i.e., the CSPD section of states' Part B Plans, and Part H Applications). Concerned leadership from states, districts, higher education, the federal government, and other agencies and organizations has provided the impetus to re-examine the CSPD as the vehicle for accomplishing planned change in personnel development.

Emerging concept of the CSPD as process

PURPOSE AND TARGET AUDIENCES

This resource manual has been developed in response to the evolving concept and practice of the CSPD. *The primary purpose is to introduce state leaders to the concepts of strategic planning and planned change for the CSPD.* This document is meant to be a resource for all concerned audiences in their efforts to develop "comprehensive systems" of personnel development that realistically and effectively deal with and manage the forces of change. It contains information, resources and examples that will assist state leaders to position themselves to plan for and manage change, rather than react to it.

An introduction to and resource for strategic planning and planned change

This document is not meant as the single and best resource for those interested in and concerned with strategic planning, planned change, and the CSPD. Indeed, there are many other resources available, and this document contains references on material and human resources. Nor is this document intended to provide readers with specific "how-to" information for such topics as developing CSPD sections of state plans, strategies for the recruitment and retention of teachers, and models for assessing personnel supply and demand. Numerous resources already exist to assist with these activities.

Much of the information contained here is derived from existing research and experience pertaining to the areas of strategic planning and planned change. The concepts presented are not necessarily new. In fact, the private sector has engaged in these processes for many years, and many public agencies and institutions have done so, as well. What is new is the attempt to integrate the concepts of strategic planning and planned change with the CSPD.

Two primary audiences for this document have been identified: state education agency directors and other state leaders involved in

Primary audiences

personnel development planning and implementation. Since the primary responsibility for the CSPD rests with the state education agency, the state director of special education is the key person in its development and implementation. The leadership, guidance and authority vested in the state director will determine the comprehensiveness and success of personnel development planning efforts.

• State director

There is an additional target audience for this document: other state leaders involved in personnel development planning and implementation. These leaders may include: the state's CSPD coordinator, representation by the Part H lead agency, the state office of teacher certification, higher education, regional and local administrators, classroom teachers, parent and advocacy organizations, professional organizations, business leaders from the community, and other leaders involved in personnel development. In addition, local directors of special education may find this publication useful for planning at the district level. In any case, a strategic planning and planned change process will not succeed in any situation unless key stakeholders are identified, informed, and actively engaged in supporting and promoting the effort.

• Other state leaders

ORGANIZATION OF CONTENT

Several concepts are presented in this document: the CSPD, strategic planning, and planned change. Moreover, two concepts are presented simultaneously in some cases, e.g., strategic planning and the CSPD.

The content of ***Planned Change for Personnel Development: Strategic Planning and the CSPD*** is organized into four chapters, followed by a "Practical Resource Materials" section. This section should be used as a strong supplement to the chapters. The organizational intent is that the chapters are to introduce the concepts, while the "Practical Resource Materials" section contains sample materials to use in trying out some applications of strategic planning and planned change. The bibliography points to sources of a more complete understanding of these practices.

Chapters introduce practical resources

- **Chapter One** provides background information, and an evolutionary description and definition of the Comprehensive System of Personnel Development. An addendum is included that summarizes the federal requirements pertaining to the CSPD for the purposes of portraying the evolution of the CSPD concept, and clarifying the components of the CSPD.

- **Chapter Two** presents context information and a general discussion of the principles of strategic planning and planned change, and describes how these concepts apply to aspects of the CSPD.

- **Chapter Three** discusses implications of realizing the CSPD through strategic planning and planned change for state education agencies.

- **Chapter Four** provides a general scenario for applying strategic planning and planned change principles to the CSPD.

- The last section, **Practical Resource Materials,** contains a number of practical resources (short activities, checklists, sets of questions, visuals and so forth) summarized from the literature on strategic planning and planned change. These are provided in the hope that readers will apply and modify them in their own planning efforts.

This document presents a conceptual framework for an expanded understanding of the CSPD, and provides a sample of the tools that can help us all work with change as a process, not as an event.

CHAPTER 1
THE CSPD IN THE 1990's

Pressures for change in general education and special education are coming from several directions. Among the internal and external sources of these pressures are:

Pressures for change

SHORTAGES OF PERSONNEL FOR SPECIAL EDUCATION, RELATED SERVICES, AND EARLY INTERVENTION. Major challenges involving personnel supply, demand, and quality have been developing for more than a decade and cross all levels of special education, including the doctoral arena where faculty are aging out and the new supply of graduates is reported to be declining. These challenges encompass:

Supply/demand imbalances

- Creating an adequate supply of high-caliber personnel who are properly qualified.
- Employing teachers and other personnel who are representative of the population.
- Deploying personnel to the areas where they are needed.
- Keeping and continuing to develop good personnel, while improving or releasing personnel who are not competent.
- Encouraging new pools of potential trainees as a future source of high-caliber personnel.

The achievement of balance, equity, and excellence in personnel supply and demand is influenced by such variables as preservice enrollments, standards, and practices; certification policies and positions on emergency certification; district hiring and assignment methods; attrition among personnel; the limited mobility of teachers and many early intervention personnel; competing career opportunities and salary levels; devaluation of the helping professions; career paths of personnel; the status of the reserve pool; and many other factors. Solutions will require a variety of inter-connected problem-solving strategies for the long term, as well as cooperation at every level.

Demographics

DRAMATIC CHANGES IN THE SCHOOL POPULATION. The ethnic minority population of the United States is expanding rapidly (while minority representation in the teaching force declines), and many cities already have, or are approaching "minority majority" populations. Apart from the new demographics, we are also experienc-

ing unprecedented increases in problems that afflict children in the United States: changes in family structure, substance abuse among children and youth, fetal syndromes caused by maternal substance abuse, childhood AIDS, teenage pregnancy, homelessness, dropping out of school, child abuse and neglect, and various health and adjustment problems that issue from these conditions. In addition, medical advances are making it possible for more children to reach school age in spite of serious problems at birth.

Problems of children and youth

As the school population becomes more diverse, more and more students are at risk of school failure and accompanying difficulties because of social and domestic conditions that interfere with learning. As the century draws to a close, students with disabilities are only part of the expanding proportion of children and youth who have special needs and who challenge the traditional models of instruction and school management. The implications for personnel development are evident. Substantial pressures are being placed upon the recruitment of members of minority populations into the teaching profession. Concurrently, many colleges of education are undergoing major changes in response to the changing public school population with respect to the content, structure and and required exit competencies of teacher education programs

THE COLLAPSE OF CHILDREN'S SERVICES. "Today's social and economic conditions are hurting large numbers of American families in ways that our current child welfare, mental health, and juvenile justice systems were not created, and are ill prepared, to address. . . . There is little doubt that economic and social trends are fueling a collapse in children's services" (Select Committee on Children, Youth, and Families, 1989, p. 2). As children's services are threatened, the help that children receive outside of school diminishes, and the pressure on schools to deal with these problems increases. The challenge for the educational system is to determine what unique services are needed, and to prepare the personnel to meet the needs created by the ever-widening gaps in children's servicies.

Children's services

FISCAL INFLUENCES. The federal deficit has reached historic proportions, and the economies of many state and local governments are constrained. "These and other features of the American financial base have become major public policy issues, and the solutions that are enacted will distinctly influence the nature of tomorrow's schools. As decision makers grapple with declining resources, several signals are already appearing. One of these signals is the growing emphasis on costs/benefits among taxpayers, policy makers and governments, all of whom want to invest scarce dollars wisely in programs that bring results. As budgets go down and/or taxes go up, the accountability and

Cost-effectiveness

performance outcomes of education and human services will become paramount in decisions about allocating funds" (Smith-Davis, 1990, p. 498).

Infant-toddler populations

NEW SERVICES FOR INFANTS AND TODDLERS. The passage of P.L. 99-457 (Part H), and the 1986 amendents to the Education of the Handicapped Act represent an important effort to develop and expand comprehensive services to the nation's youngest children with disabilities and their families. Several challenges and implications pertaining to personnel development are inherent in this effort. Among these are:

- States are required to develop personnel preparation systems that provide appropriate preservice and inservice training, and to establish clear statements of personnel standards for early intervention providers. The potential exists for duplication of effort and confusion, as states grapple with meeting requirements for comprehensive personnel development systems, mandated by two separate regulatory bases (Part H of 99-457 and the CSPD components in 94-142 - 300.380 - 300.387.)

Duplication of CSPD efforts

- The Part H program is based on a family-centered model. This approach may require some personnel to shift from a service-centered framework to a family-centered approach. This shift in paradigm will require a shift in values and beliefs which creates a unique personnel training issue.

- Part H calls for an interagency and interdisciplinary approach to services, as well as to the development and training of personnel. Inservice and preservice training will be "conducted on an interdisciplinary basis, to the extent appropriate" (Federal Register, 6/22/89, p. 26323). Also, states must provide training to the variety of personnel needed to provide early intervention services. States are faced with the task of not only coordinating training efforts across disciplines and agencies, but with the additional task of appropriately identifying the targets for such training (public and private providers, primary referral sources, hospitals, physicians, parents, day care programs, LEAs, public health, social service agencies, paraprofessionals, and case managers).

Interagency and interdisciplinary approaches

Relationship of special education and general education

CHANGING PHILOSOPHIES OF SPECIAL EDUCATION. The destiny of special education is not clear, nor has its place within the larger education community been fully clarified. In both the philosophical and practical sense, special education is in a process of determining how it should relate to the overall educational enterprise. With

respect to personnel development, special education continues to examine how its personnel should be linked to other disciplines at all levels, what is meant by "mainstreaming" and "integration" and how these meanings are to be translated into practice in both training and classroom settings.

Isolation or repositioning?

Clearly, change is occurring, whether we welcome it or not. How we handle change today will determine the future of special education. We can choose to isolate ourselves from education as a whole, or to reposition ourselves within the entire enterprise in order to deal comprehensively with larger problems as they emerge. We can choose to ignore the plight of children's services, or we can recognize how much we need strength and cooperation across all sectors to address the needs of children in this country. We can choose to diminish the politics of disaggregation that have contributed heavily to education's difficulties. We can view change as an opportunity to create a better system of education. There are many decision points. We can do something or nothing. Either decision will have an outcome.

Reducing ambiguity

Across many fields, people sense acutely that they are standing on shifting sands. Old systems are no longer working in new situations, better alternatives have not yet evolved, and those who would protect the prevailing situation respond with accelerating cautions to preserve the status quo. Thus, professionals and consumers are experiencing not only frustration, ambiguity, and disequilibrium, but are also uncertain about articulating the knowledge that things are not working as they should. There is a widespread and deeply felt need, understood by officials and practitioners alike, for leadership which can provide a vision of the future that can be used to organize the present.

Leadership, Futures-oriented management, and Change

THE ESSENTIAL ISSUES for the states in the 1990s are leadership, futures-oriented management, and change:

- What is occurring around us?
- Where should special education be going?
- What is the vision for the future?
- How can we get from here to there with our existing and potential resources?
- How can people work together toward a vision of the future that serves the common good?
- How can we bring about genuine improvements that will endure?

This book is about leadership, management, and change. It is about the capacity for dealing with the present in ways that can shape a positive future, and bringing about change by enabling and involving those who are affected by it.

The vehicle for illustrating these concepts is the Comprehensive System of Personnel Development, but the practices and viewpoints inherent in strategic planning and planned change are applicable to leadership at all levels. Further, the concepts presented here are not new, but they have not been applied comprehensively or universally to the problems of special education in the past. The purpose of this book is to demonstrate how strategic planning and planned change are basic to the meaning of the CSPD and how they may be used to accomplish the CSPD's goals — primarily to ensure and maintain an adequate and appropriately deployed supply of competent people for special education and related services.

THE EVOLUTION OF THE CSPD

The CSPD has not been defined conceptually

Although the Comprehensive System of Personnel Development is a requirement of Public Law 94-142 and Public Law 99-457, it has not been defined conceptually in law or regulations. Rather, the CSPD is set forth as if it were a set of separate pieces, (i.e., preservice, inservice, participatory planning, needs assessment, dissemination of information, adoption of promising practices, evaluation) and, in Part H, interdisciplinary preservice and inservice training, training of a variety of personnel needed, and an emphasis on meeting interrelated needs of eligible children and family participation. These pieces, as set forth in legislation, are simply the mandated framework for developing a CSPD. (The Addendum at the end of this chapter provides a summary of federal requirements pertaining to the CSPD.)

Emerging concept of the CSPD

Over time, a more complete understanding of the CSPD has emerged as people have worked with it and have recognized the political, economic, social, technological, and organizational forces that can interconnect the CSPD's components as a system — or drive them apart and make them ineffectual for achieving a state's mission.

> Systems do not begin intact. Usually, pieces are developed, each in response to an individual need or issue. These pieces may touch each other from time to time, but in the early stages the emphasis is on addressing each specific problem, rather than working on a common theme common to all of them. As development contin-

ues, the interactions increase: areas where the pieces overlap become increasingly apparent, and the effects of doing something with one piece are seen in another.

So why don't these pieces go together easily? Basically because each piece has developed as its own system, with its own boundaries,environment and closely held beliefs about why and how it is successful. However logical the "big picture" may appear, because people and energy are strongly invested in its individual parts, linking several of these "minisystems" requires relooking, rethinking, and reworking. (Western Regional Resource Center, 1990a, p. 1).

In addition, pressures for conformity and compliance have promoted a product orientation toward the CSPD, with a focus on one part or another (e.g., emphasis on needs assessment and inservice at the expense of other necessities) and a resulting lack of comprehensiveness. The paperwork requirements are one thing; informed action to bring about change is quite another. Ultimately, people involved in personnel issues have recognized the need for balance between the content of needs and plans and the process that is necessary to meet the needs and execute the plans.This understanding is paving the way for next steps in the evolution of the Comprehensive System of Personnel Development.

Balance between content and process

One such step was taken in August 1990 at a meeting of state officials convened by the Western Regional Resource Center, where participants worked with the following conceptual definition of the CSPD. This is not intended to become a new and final formula, or any formula at all, but it does suggest that what we do when we strategically plan is: (a) set a vision for how we want the world to be different, and (b) change parts of the world in ways that increase the likelihood that we will reach that vision.

Conceptually defining the CSPD: one possibility

THE CSPD is a system for organizing the service delivery world so that adequate numbers of competent people are available to serve children and youth with disabilities. This system tries to produce change for the better by understanding and dealing with influences in the environment, and by taking into account the various interventions that can propel the change that is desired.

THE SERVICE DELIVERY WORLD is the environment in which people are trained, recruited, certified, maintained, etc., to serve children and youth with disabilities.

THE INFLUENCES, or things present in the real world that affect the availability of personnel, include such things as:

- The culture of the schools.
- Preservice and inservice training.
- Public perception of teaching.
- Student demography.
- Teacher demography.
- The history of state/local governance relationships.
- Career incentives for special education personnel.
- Funding for education and teacher education.
- Medicaid funding for related services.
- Recruitment and retention of personnel.
- Labor market competition.
- Technical assistance and organization development.
- And many other influences.

THE CONSIDERATIONS are things that need to be taken into account in planning interventions to achieve improved availability and quality of service providers. Examples of these considerations include:

- Identifying opinion leaders, stakeholders, spheres of influence.
- Conducting participatory planning.
- Creating a constituency.
- Within-state and across-state involvements.
- Building constituencies to support change.
- Connections to general education.
- Political analysis.
- Creating or using incentives.
- Congressional interests and higher appropriations.
- Shaping leadership.
- Linkage with school reform and restructuring.
- Coordination of efforts and people.
- Consumer satisfaction (parents, students, the public).

All of these interlocking factors (and other factors), and the CSPD itself must relate clearly and directly to the state's/jurisdiction's overall philosophy of special education and its long-term goals for making that philosophy manifest in every school. (Western Regional Resource Center, 1990b, p. 1.) (Figure 1 at the end of this chapter presents a visual example of this concept.)

Every state or district is not in the same context or at the same point of development in the CSPD or other functions of education. However, in each state and district, right now, people are making decisions and taking actions. This document explains some concepts and practices that may help leaders to think and act strategically and planfully in the present, so as to have some control over the future. Directly or indirectly, leadership personnel across each state can influence much of what will occur in the 1990s.

Think forward and think smart

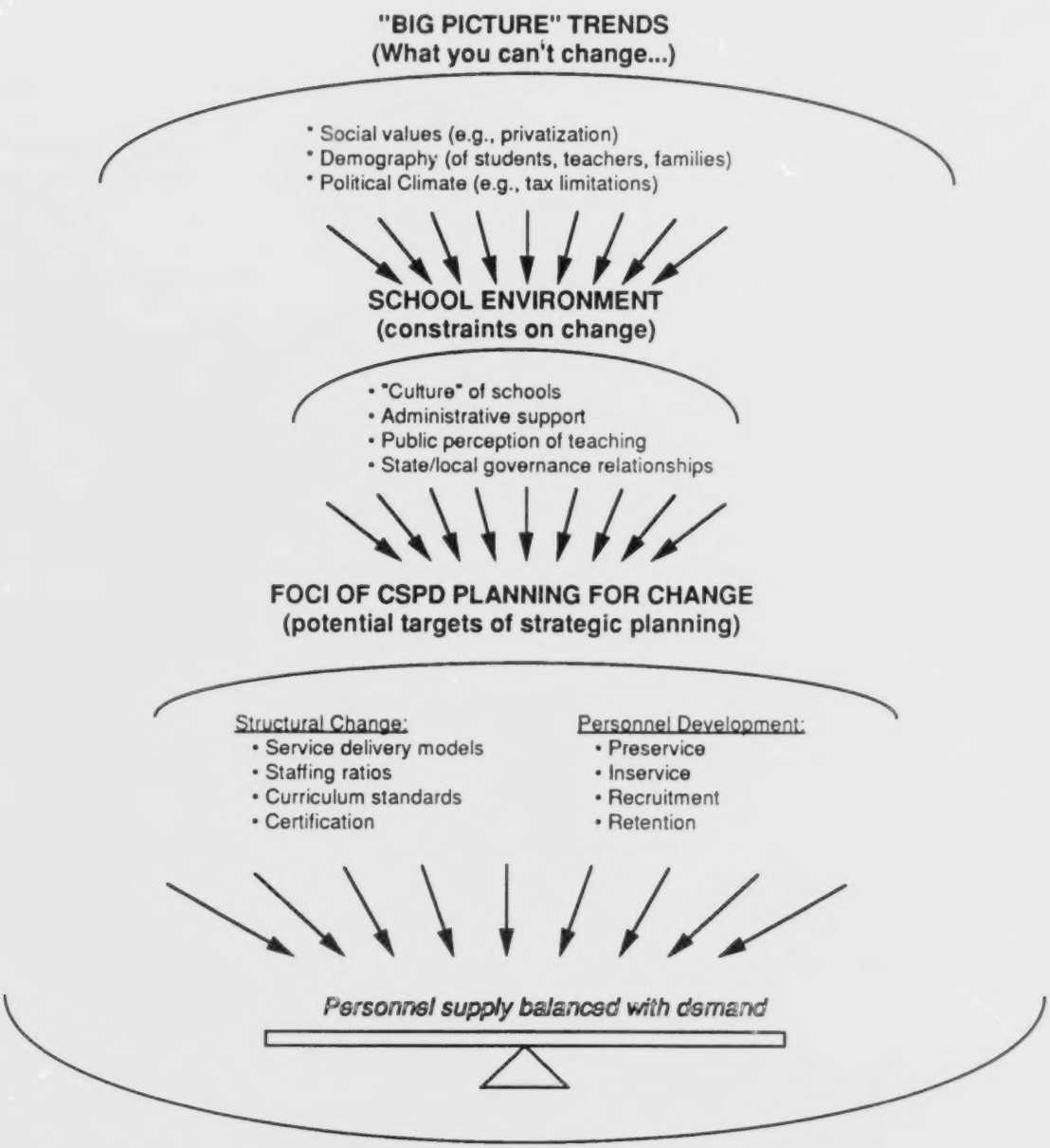
This book is intended to help you to "think forward" and "think smart." To begin, you might consider the following questions, and consider your answers and viewpoints as you continue through these pages.

- What seems impossible now in my state but would change the future of education if it could be overcome? (Engleman, 1990b)
- What are the barriers that make this change seem impossible?
- What/who are the enabling factors that could be used to facilitate this change?
- How are the barriers, enablers, and overall environment related?

Figure 1

The CSPD in the context of dynamic social and institutional change

(The goal of the CSPD is to bring about and maintain an adequate supply of competent people for effective special education and related services)



UNDERLYING PROCESS CONSIDERATIONS:

- Stakeholders/opinion leaders
- Participatory planning
- Constituency development
- In-state and regional issues
- Shaping leadership
- Collaboration
- Coordination of efforts
- Consumer satisfaction
- Connection to school reform and restructuring

Source: Western Regional Resource Center, 1991

ADDENDUM

From Law and Regulations

THE CSPD ADMINISTRATIVE REQUIREMENTS: A Brief Summary

The components of the Comprehensive System of Personnel Development were set forth in federal regulation in Public Law 94-142 (The Education of All Handicapped Children's Act, 1975 - regulations were finalized in August 1977). The federal regulations set the stage, and served as a basis for state education agencies' initial conceptual thinking about and development of CSPD plans (as part of state Part B-EHA plans). For the purposes of portraying the evolution of the CSPD concept, and in clarifying the "pieces" of the CSPD as part of this evolving concept, the federal requirements (from 94-142) are summarized below. Immediately following is a summary of the federal requirements from P.L. 99-457 (Part H). Also, information is included pertaining to additional CSPD requirements included in the Individuals with Disabilities Education Act (IDEA - Public Law 101-476), enacted in 1990. (Final regulations for the additional CSPD requirements are not yet completed.)

EDUCATION OF THE HANDICAPPED ACT REGULATIONS

Comprehensive System of Personnel Development

Regulation 300.380 Scope of system.

Each annual program plan must include a description of programs and procedures for the development and implementation of a comprehensive system of personnel development which includes:

(a) The inservice training of general and special education instructional, related services, and support personnel;

(b) Procedures to insure that all personnel necessary to carry out the purposes of the Act are qualified (as defined in Reg. 300.12 of Subpart A) and that activities sufficient to carry out this personnel development plan are scheduled; and

(c) Effective procedures for acquiring and disseminating to teachers and administrators of programs for handicapped children, significant information derived from educational research, demonstration, and similar projects, and for adopting, where appropriate, promising educational practices and materials developed through those projects.

Regulation 300.381 Participation of other agencies and institutions.

(a) The State educational agency must insure that all public and private institutions of higher education, and other agencies and organizations

(including representatives of handicapped, parent, and other advocacy organizations) in the state which have an interest in the preparation of personnel for the education of handicapped children, have an opportunity to participate fully in the development, review, and annual updating of the comprehensive system of personnel development.

(b) The annual program plan must describe the nature and extent of participation under paragraph (a) of this section and must describe responsibilities of the State educational agency, local educational agencies, public and private institutions of higher education, and other agencies:
  (1) With respect to the comprehensive system as a whole, and
  (2) With respect to the personnel development plan under Reg. 300.383.

Regulation 300.382 Inservice training.

(a) As used in this section, "inservice training" means any training other than that received by an individual in a full-time program which leads to a degree.

(b) Each annual program plan must provide that the State educational agency:
  (1) Conducts an annual needs assessment to determine if a sufficient number of qualified personnel are available in the State; and
  (2) Initiates inservice personnel development programs based on the assessed needs of Statewide significance related to the implementation of the Act.

(c) Each annual program plan must include the results of the needs assessment under pargraph (b)(1) of this section, broken out by need for new personnel and need for retrained personnel.

(d) The State educational agency may enter into contracts with institutions of higher education, local educational agencies or other agencies, institutions, or organizations (which may include parent, handicapped, or other advocacy organizations), to carry out:
  (1) Experimental or innovative personnel development programs;
  (2) Development or modification of instructional materials; and
  (3) Dissemination of significant information derived from educational research and demonstration projects.

(e) Each annual program plan must provide that the State educational agency insures that ongoing inservice training programs are available to all personnel who are engaged in the education of handicapped children, and that these programs include:
  (1) The use of incentives which insure participation by teachers (such as released time, payment for participation, options for academic credit, salary step credit, certification renewal, or updating professional skills);

(2) The involvement of local staff; and
(3) The use of innovative practices which have been found to be effective.

(f) Each annual program plan must:
(1) Describe the process used in determining the inservice training needs of personnel engaged in the education of handicapped children;
(2) Identify the areas in which training (such as individualized education programs, non-discriminatory testing, least restrictive environment, procedural safeguards, and surrogate parents);
(3) Specify the groups requiring training (such as special teachers, regular teachers, administrators, psychologists, speech-language pathologists, audiologists, physical education teachers, therapeutic recreation specialists, physical therapists, occupational therapists, medical personnel, parents, volunteers, hearing officers, and surrogate parents);
(4) Describe the content and nature of training for each area under paragraph (f)(2) of this section;
(5) Describe how the training will be provided in terms of (i) geographical scope (such as Statewide, regional, or local), and (ii) staff training source (such as college and university staffs, State and local educational agency personnel, and non-agency personnel);
(6) Specify: (i) The funding sources to be used, and (ii) The time frame for providing it; and
(7) Specify procedures for effective evaluation of the extent to which program objectives are met.

Regulation 300.383 Personnel development plan.

Each annual program plan must: (a) Include a personnel development plan which provides a structure for personnel planning and focuses on preservice and in-service education needs;
(b) Describe the results of the needs assessment under Reg. 300.382 (b)(1) with respect to identifying needed areas of training, and assigning priorities to those areas; and
(c) Identify the target populations for personnel development, including general education and special education instructional and administrative personnel, support personnel, and other personnel (such as paraprofessionals, parents, surrogate parents, and volunteers).

Regulation 300.384 Dissemination.

(a) Each annual program plan must include a description of the State's procedures for acquiring, reviewing, and disseminating to general and special educational instructional and support personnel, administrators of programs for handicapped children, and other

interested agencies and organizations (including parent, handicapped, and other advocacy organizations) significant information and promising practices derived from educational research, demonstration, and other projects.

(b) Dissemination includes:

(1) Making those personnel, administrators, agencies, and organizations aware of the information and practices;

(2) Training designed to enable the establishment of innovative programs and practices targeted on identified local needs; and

(3) Use of instructional materials and other media for personnel development and instructional programming.

Regulation 300.385 Adoption of educational practices.

(a) Each annual program plan must provide for a statewide system designed to adopt, where appropriate, promising educational practices and materials proven effective through research and demonstration.

(b) Each annual program plan must provide for thorough reassessment of educational practices used in the State.

(c) Each annual program plan must provide for the identification of State, local, and regional resources (human and material) which will assist in meeting the State's personnel preparation needs.

Regulation 300.386 Evaluation.

(a) Each annual program plan must include evaluation procedures for evaluating:

(1) The comprehensive system of personnel development in meeting the needs for personnel, and

(2) The procedures for administration of the system;

Regulation 300.387 Technical assistance to local educational agencies

Each annual program plan must include a description of technical assistance that the State educational agency gives to local educational agencies in their implementation of the State's comprehensive system of personnel development.

EARLY INTERVENTION PROGRAM FOR INFANTS AND TODDLERS WITH HANDICAPS (PART H: 34 CFR PART 303)
Public Law 99-457

Regulation 303.360 Comprehensive system of personnel development

(a) Each system must include a comprehensive system of personnel development. Subject to paragraph (b) of this section, a State's current personnel development system required under Part B of the Act (34 CFR 300.380 through 300.387) may be used to satisfy this requirement.
(b) The personnel development system under this part must-
(1) Provide for preservice and inservice training to be conducted on an interdisciplinary basis, to the extent appropriate;
(2) Provide for the training of a variety of personnel needed to meet the requirements of this part, including public and private providers, primary referral sources, paraprofessionals, and persons who will serve as case managers; and
(3) Ensure that the trainng provided relates specifically to--
(i) Meeting the interrelated psychosocial, health, developmental, and educational needs of eligible children under this part; and
(ii) Assisting families in enhancing the development of their children, and in participating fully in the development and implementation of IFSPs.

INDIVIDUALS WITH DISABILITIES EDUCATION ACT
(as amended by Public Law 101-476)

Additional CSPD Requirements

Section 613 (a)(3) (20 U.S.C. 1413 (a)(3)
State Plans

(a) Requisite features

Any State meeting the eligibility requirements set forth in section 1412 of this title and desiring to participate in the program under this subchapter shall submit to the Secretary, through its State educational agency, a State plan at such time, in such manner, and containing or accompanied by such information, as the Secretary deems necessary. Each such plan shall - . . .

. . .(3) describe , consistent with the purposes and activities of the chapter, a comprehensive system of personnel development that shall include -

(A) a description of the procedures and activities the State will undertake to ensure an adequate supply of qualified special education and related services personnel, including -

(i) the development and maintenance of a system for determinng, on an annual basis -

(I) the number and type of personnel including leadership personnel, that are employed in the provision of special education and related services, by area of specialization, including the number of such personnel who are employed on an emergency, provisional, or other basis, who do not hold appropriate State certification or licensure; and

(II) the number and type of personnel, including leadership personnel, needed in five years, based on projections of individuals to be served, retirement and other leaving of personnel from the field, and other relevant factors;

(ii) the development and maintenance of a system for determining, on an annual basis, the institutions of higher education within the State that are preparing special education and related services personnel, including leadership personnel, by area of specialization, including -

(I) the numbers of students enrolled in such programs, and

(II) the number who graduated with certification or licensure, or with credentials to qualify for certification or licensure, during the past year; and

(iii) the development, updating, and implementation of a plan that -

(I) will address current and projected special education and related services personnel needs, including the need for leadership personnel; and

(II) coordinates and facilitates efforts among State and local educational agencies, institutions of higher education, and professional associations to recruit, prepare, and retain qualified personnel, including personnel from minority backgrounds, and personnel with disabilities; and

(B) a description of the procedures and activities the State will undertake to ensure that all personnel necessary to carry out this subchapter are appropriately and adequately prepared, including -

(i) a system for the continuing education of regular and special education and related services personnel;

(ii) procedures for acquiring and disseminating to teachers, administrators, and related services personnel significant knowledge derived from education research and other sources; and

(iii) procedures for adopting, where appropriate, promising practices, materials, and technology.

CHAPTER 2
STRATEGIC PLANNING, PLANNED CHANGE, AND THE CSPD

As understanding of the Comprehensive System of Personnel Development has deepened over the past fifteen years, a parallel shift has been occurring in the concept of planned change and in the meaning of management and leadership. This chapter will briefly review this evolution, describe current viewpoints on the definition of strategic planning (including strategic thinking)[1], and planned change, and give a few examples of how strategic planning and planned change may be used in implementing the CSPD. (The "Practical Resource Materials" section contains short summaries of various techniques and approaches to strategic planning and planned change, which this chanpter is intended to clarify this chapter and to be applied to some aspect of strategic planning and planned change.)

CONCEPTUAL SHIFTS

As Baldridge and Deal (1983) have pointed out, 20 to 30 years ago the process of change focused primarily on individuals as change agents and on ensuring the adoption of innovations. These earlier efforts did not look closely enough at the factors that influence how new programs, practices, or procedures are actually implemented. Nor did they give adequate attention to determining whether lasting change actually occurred as intended.

Planned change as a management practice

Although the role of the change agent remains important in planned change, today the focus has broadened to examine organizations, their constituent parts, and the individuals who inhabit them. The decision to adopt a change is seen as only a part of the process and not the end point. Thus, planned change has been merging with new concepts about management.

> "Good organizational change practices are simply good management. When we learn important lessons about organizational change, we have also learned important lessons about organizational management in general" (Baldridge & Deal, 1983, pp. 3-4).

1 The term "strategic thinking" is part of a strategic planning process. As people engage in strategic planning efforts, they will, by the nature and requirements of the planning process, be engaged in strategic thinking. For the purposes of this document, "strategic thinking" will be assumed as a part of strategic planning.

Management and administration have also been influenced by the need for greater responsiveness to fluctuations in the environment where an enterprise takes shape — both inside and outside of the organization. Leadership is exercised in a "trading village where you cannot think of yourself in exclusive terms any longer" (Engleman, 1990a, p. 1).

As new concepts of management have developed, **strategic planning** and **planned change** have become related aspects of effective leadership. This evolution is suggested by Bennis (1989), in his discussion of organizational leadership in higher education. "Managers are people who do things right; leaders are people who do the right thing. Both roles are crucial, but they differ profoundly" (p. 35). In his analysis, Bennis finds that "American organizations are overmanaged and underled" (p. 35).

Managers vs. leaders

Strategic planning and planned change can enhance the leadership aspects of management and administration. They can be used to propel a district or state — or a profession — to greater effectiveness in creating and acting on a mutual vision of what the future should be.

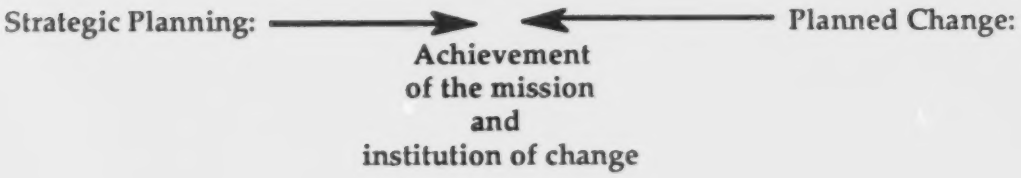
Strategic planning is essentially a "disciplined effort to produce fundamental decisions and actions that shape and guide what an organization (or other entity) is, what it does, and why it does it" (Bryson, 1988, p. 5). Strategic planning and thinking involve comprehensive data gathering; interpreting, sensing and evaluating environmental influences; exploration of a range of alternatives; and a focus on the implications of decisions and actions for all parts of the present system, and for future conditions (Bryson, 1988; Olsen & Eadie, 1982). **Planned change**, on the other hand, provides the tactics that can create the conditions for achieving goals. Through analysis of the forces at work and the flow of activities in the system, strategic planning provides the framework in which change may occur. *Whereas strategic planning and thinking help people to identify and understand the political, economic, professional, psychological, and social influences that characterize and impinge on the system, planned change helps people to use and modify these forces to achieve the mission.*

Broad definitions: strategic planning and planned change

This chapter will briefly summarize the concepts of strategic planning and planned change, and will point out some of their general implications for the Comprehensive System of Personnel Development. (Figure 2 shows a graphic display of the interaction between strategic planning and planned change.)

Figure 2

A Conceptual Picture: Strategic Planning and Planned Change



Strategic Planning focuses on:
The development of a strategic plan that targets a specific area for study.

Effort centers on envisioning a future and developing the necessary procedures and operations to achieve that future.

Some general steps involve:

- Using the mission as a guide (the reference point)
- Comprehensive gathering and examination of data (internal and external scanning)
- Discrepancy analysis (what are the differences between where we are now - the present, and where we want to be - the mission)
- Goal-setting (identify outcomes to overcome discrepancies)
- Strategy development to achieve the goals (action plans for each goal)
- Continous evaluation and updating of the plan

Planned Change focuses on:
The management of the change process.

Efforts center on the marshalling of all necessary resources, and the artful and scientific execution of various interventions calculated to institute a desired change.

Some specific considerations are:

- Garnering broad-based support for the change
- Understanding the professional and organizational culture
- Using interventions that influence the spread of knowledge
- Using interventions that support adoption of the "new"
- Building linkages between and among communities in the system
- Supporting team building and involvement
- Communicating clearly and broadly

Source: C. Riffle, 1991

STRATEGIC PLANNING

Today's Context

Business and industry have been discovering that "just moving the furniture around" within an organization is no longer a sufficient response to today's perplexities and the increasing sophistication of today's consumer (Engleman, 1990a). Traditional organizational structures are becoming more fragmented and less workable, and both the public and private sectors have reached an uncomfortable awareness of "reorganization as a garbage can," as described by Olsen (1983, pp. 253-254):

> Reorganization . . . is a choice opportunity that collects an assortment of loosely collected problems, solutions, and participants. The collection may include a variety of substantive concerns: different participants may graft onto a reorganization decision the solutions to almost any current problem. Thus, reorganizations have become simultaneous vehicles for discussing the efficiency of communication, firing managers, concealing unfortunate budgetary comparisons, and changing standard operating procedures.

Reorganization as a garbage can

Administrators in education are making similar discoveries as they deal with shifts in the sources of change and in their managerial roles. According to Baldridge and Deal (1983, pp. 5-6):

Factors influencing change in educational management

- The pressure for change has shifted from the inside to outside educational organizations.
- The incentives for change have shifted from voluntary improvements to mandatory requirements.
- Changes in response to growth (new programs, expanding clientele, and optimism) have decreased, while changes in response to decline have increased.
- The task of administration has shifted from management to survival or crisis containment in many situations.
- Administrators realize that educational organizations are not easy to control, and are more complex than most administrators anticipated. When changes are introduced, these organizations become even more complex.

Shaping the future

Ultimately, the roles of leader, administrator, manager, and practitioner are fraught with cause-effect implications. No matter what we do (even if we do nothing), "each of us is involved daily in the process of inventing the future. What we do today shapes in no small degree the options available to us in the future" (Gabor, 1964, p. 19). The task, then, is to ensure that what we do today is intelligently and purposefully connected to a shared idea of what the future should be.

Some Principles of Strategic Planning

Thinking strategically means thinking deliberately and broadly about causes and effects. Strategic planning offers a way to manage the present in order to assert some degree of intelligent design and control over the future.

To think and plan strategically, one must first have a reference point, which is the agreed-upon mission or purpose statement.[2] With this reference point as a guide, the strategic thinker/planner looks comprehensively across the complex relationships that make up the system to see how relationships and resources might be repositioned for greater effectiveness. The strategic thinker/planner examines contexts and conditions by using external scanning, internal scanning, and institutional memory to evaluate the status quo and how it might be transformed. For example:

- Mission statement as reference point
- External scanning
- Internal scanning
- Discrepancy analysis
- Goal-setting
- Strategy development
- Rolling planning

- Trends that affect the system or organization are examined, and forces in the environment are described (external scanning).
- The system's resources, culture, strengths, and weaknesses are assessed (internal scanning).
- Relevant history is used to learn from past experiences and to define the direction in which the organization's history has propelled it.
- These strategies yield a flow of information and decision options that can be used to:
  - Anticipate problems;
  - Develop solutions and alternatives;
  - Redesign and reposition resources;

2 The strategic planning process can be used to develop a mission or purpose statement for an organization or group. Please refer to the "Practical Resource Materials" section for possible strategies to use in the development of missions.

- Insert variables that can create desired changes in system relationships; and
- Devise outcome scenarios that suggest both intended and unintended outcomes across the system.

- Projected end points (outcomes) are compared with the reference point (the mission - what is important, what is most important?) as a way of developing action plans that are accountable.

- These and other aspects of strategic thinking are adaptable to "rolling planning," in which the vision is constant but responses can change over time to fit emerging needs and situations.

Strategic Planning vs. Traditional Problem-Solving. Baldridge (1983) has described the following ways that strategic planning may be contrasted with traditional approaches to problem-solving:

A focus on organizational destiny

- Strategic planning focuses on an organization's destiny — the big purpose, mission, relationship to the environment, share of the market, interactions with other systems. Whereas traditional approaches are concerned with nuts and bolts and routine issues, strategic thinking and planning addresses the basic questions of an organization's health, vitality, and survival.

Emphasis on "doing the right thing," today

- In strategic planning, time orientations are keyed to rapid (and continuous) assessment of the environment and rapid decision-making that grapples with short-term and medium-range issues. The emphasis is on doing the right thing today so that the organization will be better off in the long run. Although strategic planning is oriented to a vision of the future, it achieves that vision through intelligent actions in the present. Strategic planners place greater value on doing the right thing (strategically) than on doing things right (bureaucratically).

Qualitative and quantitative input

- Strategic planning is both an art and science. Qualitative value judgments and quantitative analyses are merged in the strategic planning effort.

The stream of decisions

- The "stream of decisions" is essential to strategic thinking. The traditional thinker views a plan as the capstone of his efforts and the blueprint to guide everything. The strategic thinker, on the other hand, views the capstone as a stream of decisions that help to move the organization into the future.

- As an open system model, strategic planning is extremely sensitive to the environment around the organization. The strategic planner knows the importance of developing a range of alternative scenarios and back-up positions as contingencies for a changed environment. The strategist looks outward; the traditional manager looks inward at facts, figures, and crystalized objectives.

Looking outward rather than inward

Strategic Planning vs. Long-Range Planning. Another way of understanding strategic planning is to show how it is different from long-range planning, as has been done by Bryson (1988), who points out that, although these two terms are sometimes used synonymously, they are actually quite different in four fundamental ways:

- "Long-range planners tend to assume that current trends will continue in the future, while strategic planners expect new trends, discontinuities, and a variety of surprises" (p. 7, referring to Ansoff, 1980). Strategic plans allow for qualitative shifts in direction and a broad range of contingency plans, which long-term planning is less likely to address.

Anticipating surprises

- "Long-range plans typically are linear extrapolations of the present, often embodied in goal statements that represent projections of existing trends" (p. 7). Strategic thinkers, on the other hand, tend to create a "vision of success" and use planning to ask how this vision can be achieved.

A vision of success

- Typical long-range planning emphasizes the translation of goals and objectives into budgets, work plans, and procedures. The emphasis of strategic planning is on identifying and resolving issues (which makes it highly suited to politicized environments).

Identification and resolution of issues

- "Finally, strategic planning is much more action oriented than long-range planning. Strategic planners usually consider a range of possible futures and focus on the implications of present decisions and actions in relation to that range. As a result, strategic planners are likely to consider a variety of possible streams of decisions and actions to try to keep the organization's options open as much as possible so it can respond promptly and effectively to unforeseen contingencies. Strategic planners may still be guided by a vision of success, but they also know that different strategies may need to be pursued to achieve this vision if the future does not turn out as planned. Long-range planners, on the other hand, tend to assume a most

An action orientation

likely future, and then work backward to map out the sequence of decisions and actions necessary to reach the assumed future. Long-range planners and plans therefore tend to get locked into a single stream of decisions and actions that may not be desirable if the future does not turn out as they assume it will" (pp. 7-8).

Strategic Planning and the CSPD

This brief review of strategic planning contains immediate lessons for the Comprehensive System of Personnel Development. The following are a few examples of how strategic thinking and planning apply to the CSPD, both conceptually and practically.

The mission as an organizing mechanism

Mission. Strategic thinking is grounded in an understanding of mission or purpose, not in a static plan. The system's parts may be organized conceptually around the CSPD's mission, which is to be shared, endorsed, and articulated across the system. If this can occur, the parts of the system can begin to function strategically themselves, because they will begin to see the cause-effect relationship between what they do and the vision of the future which they have affirmed for their own agencies and institutions.

The environment of the CSPD

The Environment. The CSPD has always implied the need for looking comprehensively across the entire system. Thus, it is essential to define the system, its parts and players and units, and the linkages (or lack of linkages) among them. The system embraced by the CSPD is not inservice, nor is it preservice or needs assessment, nor any other separate activity. The system is the sum of all of the endeavors, interests, forces, mechanisms, resources, and people who should interact on issues that influence the supply and quality of personnel.

Linkages and reciprocity

Relationships. Relationships exist not only among the political aspects of the CSPD, but also among its programmatic parts (e.g., inservice, preservice, needs assessment, participatory planning, adoption of promising practices, dissemination of information, data collection, evaluation). Functional and interpersonal connections, attractions, and rejections are factors to be considered in developing CSPD solutions and alternatives, and in repositioning resources. Further, internal and external scanning will reveal many variables inside and outside of the system that impinge on personnel supply and quality. All of these factors demonstrate the need for linkage and reciprocity across the system. Otherwise, efforts in one arena may have unintended effects on another arena, solutions to one problem will be likely to create difficulties elsewhere, and today's decisions may sow the seeds for future chaos, rather than progress. An understanding of

system relationships will also help to reveal which forces support change, which forces will mitigate against change, and how new variables can be introduced to reorient relationships and pave the way for desired change.

Stream of Information

Information Flow. Because conditions fluctuate, it is necessary to have a stream of information for decision-making. This information should incorporate trends and forces in the environment that affect the system; data on the changing status of personnel supply, demand, and quality and how it is affected by changes within the system; assessments of strengths and weaknesses; and historical data for purposes of comparison. If such information is continuously available, it can support the kind of "rolling planning" in which responses evolve to fit emerging needs and situations. If key aspects of this information are disseminated across the system, it can eventually influence various parts of the system toward greater mutual understanding and cooperation across organizational boundaries.

PLANNED CHANGE

Today's Context

Education is vulnerable to a number of trends and influences both inside and outside of its immediate environment. From the outside come a multiplicity of technological advances, marked changes in the school population, fiscal downturns, shortages of personnel, and phenomena arising from the larger society. On the inside, we have conflicting and evolving philosophies on categorical programming, the impact of school reform, and the best ways to improve the performance of schools and students, among other things. Personnel at the local level experience pressures by parents and school boards. Accelerating rates of litigation and of federal legislative and regulatory activities introduce continuing broad national requirements for change.

Forces of conservatism

Considering all of this, one might expect our organizations and systems to be dynamic and adaptable, responding to mandates and anomalies as swiftly as they appear. But this is not the case. Systems in education do not generally embrace the process orientation necessary for bringing about change. The ways that systems are organized and administered make some kinds of change difficult to effect. The magnitude and variety of demands for change boggle the mind and overwhelm the spirit, and education's vulnerability (perceived helplessness) in the face of immutable forces inspires conservatism, rather than risk-taking.

Few incentives for change

The problem of change is complicated by the fact that educational institutions "are not, as entities, information-seeking, knowledge using, problem-solving, planful, collaborating organizations. . . . (They) operate in a non-market sector in which few incentives (e.g., profit maximization) operate to stimulate innovation as classically defined" (Crandall, 1981, p. 13).

Multiple communities

Moreover, the parts and players within the system belong to communities within education: the school community and local community, the state-level community, the higher education community, parents, unions, and so on. In order to bring about a systems change, it is necessary to persuade these communities that change is possible and desirable, and to consider the motivations, resistances, balances of power, and relationships among them (Foshay, 1972).

Loose coupling

Within these communities, entities are loosely coupled. "Loose coupling simply connotes things . . . that may be tied together either weakly or infrequently or slowly or with minimal interdependence" (Weick, 1983, p. 20). In fact, the systems approach springs from the need to see how the parts are tied together or could be tied together (Rosenblum & Lewis, 1981). Among the properties of loose coupling are (Wyant & Bell, 1981, pp. 15-16):

- Ambiguous and conflicting goals.
- Unclear technology: No single way of doing things that uniformly produces consistent results.
- Fluid participation: Participants vary in the amount of time and effort they devote to different domains. Involvement varies from one time to another. Audiences and decision-makers for any kind of choice may change capriciously.

These characteristics of loosely coupled systems may be viewed as either barriers to change (Wyant & Bell, 1981) or necessary buffers against an environment where change demands from different sources are incompatible (for example, demands that schools professionalize teaching versus demands that they increase teacher accountability through external scrutiny and the prescription of teaching process and outcomes). Some characteristics of loose coupling may, alternatively, be conducive to change. Fluid participation, for example, reflects the ability of an organization to change configuration. As reflected in matrix management, "participation in task groups and decision-making groups may need to vary if an organization is going to be responsive in a turbulent and changing environment" (R. Zeller, personal communication, December 5, 1990).

According to Skrtic (1988), change is also made difficult by the fact that schools are administratively organized as machine bureaucracies and instructionally organized as professional bureaucracies. Skrtic differentiates between two types of change, in terms of the impact the bureaucratic standardization process has on both:

> First, there are FUNDAMENTAL changes: alterations in the fundamental operations for which the organization has been standardized. In schools, a fundamental change is one that requires the school to alter the basic operation of its K-12 regular education program. This would be a fundamental change because it requires an alteration in the way its primary workers (regular classroom teachers) do their work -- the work for which they have been standardized (through training and inculcation). Second, there are what can be thought of as INCIDENTAL changes, which are changes that do not require an alteration of the basic K-12 regular education program... Incidental changes require the school to do something ADDITIONAL, like adding on a new classroom, program or specialist (p. 16).

Fundamental change vs. incidental change

The way schools are organized, according to Skrtic (1988), brings about a configuration in which fundamental changes cannot be made by fiat. Rather, the machine management bureacracy responds by extending formalization (rules, regulations, procedures). Within the professional bureaucracy (composed of individuals trained and indoctrinated to do their jobs entirely individually), a demand for change is often "carried out by adding a new program – which is to say, a new professional. . . These changes need not be integrated into the ongoing structure; they are simply added on segmentally, making any substantial reorganization of activity unnecessary... Add-on units and the rituals and ceremonies put in the formal structure are important as SYMBOLS of change, but they are incidental to or decoupled from the ongoing operation of the basic K-12 instructional program" (p. 17). These features of the educational landscape have particular relevance to the requirements of Public Law 94-142 for special education, and they demonstrate the imperative to integrate the principles of planned change into any attempt at school reform and restructuring.

Fundamental change is not reflected in "additions"

The foregoing are a few of the circumstances that complicate change in education and that can lead to discrepancies between what is intended and what actually takes place when change is undertaken. An understanding of the forces that influence change is a necessary antecedent to modifying these forces through a planful change process.

Some Principles of Planned Change

Change is deviation. It requires different methods, relationships, procedures, norms, values, and/or attitudes of those who are affected. Therefore, change does not occur automatically, and different types of change will introduce a greater or lesser degree of complexity, compatibility, or dissonance that can cause confusion and resistance.

Change does not occur automatically; planned change is deliberate

Planned change denotes various thought-out interventions that are calculated to reduce ambiguity, encourage cooperation, neutralize resistance, and integrate something new. These interventions may be directed toward people, processes, products, mechanisms, structures, and relationships, and they have many applications:

- Some models are designed for systemwide change, in which an innovation must be spread through all of the system's communities, cultures, and functions with a high degree of fidelity.
- Other strategies influence aspects of change (and may be used to support systems change). Examples include:
  - Application of the factors that are known to influence the spread of knowledge;
  - Processes that support the adoption of new programs; and
  - Selection of incentives that motivate people to move in a certain direction.
- Some principles of planned change can be used to help people to break out of cyclical behaviors and static responses that are no longer useful in new situations.
- Strategies of planned change are also helpful in:
  - Modifying attitudes;
  - Introducing variables that throw relationships into relief and reorient them;
  - Using information to alter the status quo;
  - Building linkage mechanisms between and among communities in the system; and
  - Supporting team building and involvement.

Focus on stakeholders

A Focus on the Players. The tactics of planned change pay particular respect to the people within the system who must endorse, participate in, and/or carry out the change that is required. These people may be grouped according to the role they play in the change process, although the same individuals or groups may play several of these roles:

- Stakeholders. Those who are responsible for final decisions, are directly affected by decisions, and/or who can block decisions (such as parent organizations; decision makers in preservice programs; administrators, particularly school superintendents; unions; legislators; state special education advisory committees; credentialing commissions; school boards; federal officials). Stakeholders may be classified into other groups as shown below:

  Opinion leaders. Individuals within a community who are considered worthy of belief and can thus influence the perceptions and reactions of others (such as political leaders, professional spokespersons, organization leaders, business and industry leaders, researchers, parents).

  Gatekeepers. Those who can control the flow of information and activity into and out of an organization or institution (including information providers, dissemination vehicles, professional organizations, and the bureaucratic system itself).

  Targets. Those who must implement the change in practice (teachers, principals, related services personnel, care providers, support personnel).

  Clients. Persons who must seek technical assistance in order to ensure that the change is carried out (e.g., school district administrators, higher education administrators, trainers, supervisors).

  Early adopters. Seekers of information, risk takers, innovators who are willing to try out the new concept, or who may seek primacy by doing so (may include staff developers, program coordinators, advocates for school reform, teacher assistance teams, or energetic individuals who are anxious to see things improve).

  Consumers. The ultimate beneficiaries of the outcome that the change is expected to have (parents, students, and the public).

Organizational and professional culture

The Impact of the Culture. The propensity for change is also influenced strongly by the organizational and professional culture (the beliefs, values, and behaviors that are ingrained in communities within the system) — and by the degree to which the innovation is positively or negatively aligned with the culture's characteristics. This suggests that, in order to bring about genuine change, it is essential to understand the culture in which it will be introduced. It may be necessary to modify the properties of the culture so that it will become more receptive to a particular innovation. "Many mandates for change, from the top-down, seem to assume that no intelligence or culture is at work in the overall education community. This tends to circumvent the type of change that was expected . . . (because) when people in an organization are not expected to act with discretion, they will of course act like bureaucrats" (Foshay, 1972, p. 677). Essentially, planned change rests on an understanding that top down mandates are not sufficient causes for bringing about the effects that they require.

Planned Change and the CSPD

The principles of planned change are abundant with implications for the Comprehensive System of Personnel Development, a few of which are summarized here.

Participatory planning and stakeholders

Broad-Based Participation. Participatory planning is the basis for involvement and commitment by the various individuals and constituencies who can make or break the change effort. The likelihood of achieving the mission is multiplied when there is planful attention to the people who must endorse and carry out the changes indicated by strategic planning for the CSPD. This attention focuses on motivations, incentives, goals, relationships, and roles played by members of various communities within the system. According to Murray (personal communication, January 10, 1991), a major factor in participatory involvement is the need to involve not only those in parallel positions of responsibility, but to "look up within the environment" to involve those at the top.

Dissemination and Adoption. Models of planned change are available for addressing two major requirements of the CSPD — the dissemination of information and the adoption of promising practices. These change strategies need to be linked to the mission and to other parts of the change effort. A fundamental consideration is helping people see the big picture from their own vantage points. Further, the dissemination aspects of planned change can merge with professional

development itself, as shown in the following sequence of steps in the process of influencing practice (U.S. Office of Education, 1976):

Dissemination of information and adoption of promising practices

- Telling: Newsletters, articles, presentations, etc.
- Showing: Demonstrations, audiovisuals.
- Helping: Consultation, technical assistance.
- Training: Courses, workshops.
- Involving and intervening: Supporting those who will implement change.

Evaluation as a process for validating short-term plans and strategies

Planning and Evaluation. Planned change takes place over time and on a continuum that addresses various forces within the organization, its environment, and its culture — in specific relation to the innovation that is being introduced. A one-year plan is both too short and too long, and a new way of thinking about plans is more useful. The mission statement comprises the vision of what the future should be, while short-term planning is adaptable and flexible in responding to fluctuations and realities. In this sense, evaluation becomes the process for validating short-term plans and actions, and for continuing a strategy or re-directing it. Short-term planning will make it possible to initiate planned change at many levels across the system and to continuously evaluate and make course corrections. Generally, the more forces for change go in the same direction, the more likely it is that change in that direction will actually take place (Blake & Mouton, 1989).

Organizational and professional cultures

Receptive Cultures. The CSPD should deal with the divergent, and often conflicting, cultures of various educational and public institutions, agencies, and organizations. The strategic importance of the organizational or professional culture is a pivotal factor in the success or failure of any change effort and should not be underestimated. The culture of any community within the system is an amalgam of practices, values, norms, attitudes, beliefs and attitudes about what is legitimate, what is important, how things should be done, and so on. New members are inculcated into the culture through the socialization process that clarifies which norms, values, and behaviors are rewarded and which are punished. Therefore, to understand the prevailing characteristics of any culture, it is necessary to find the answers to the two following questions. Similarly, to bring about change within a culture, it may be necessary to create the conditions that will change the answers to these questions:

What is rewarded?

and

What is punished?

Leadership and Change

According to Bennis (1990), across society and endeavors "we are less good, less efficient, and less sophisticated with each passing decade . . . (and) what's going on is that the people in charge, particularly in business and government, have imposed change rather than inspiring it. We have had far more bosses than leaders" (p. 26). Bennis believes that "only people with virtue and vision can lead us out of this bog and back to high ground (p. 27) . . . True leaders work to gain the trust of their constituents, communicate their vision lucidly, and thus involve everyone in the processes of change. They then try to use the inevitable dissent and conflict creatively, and out of all that, sometimes, a new paradigm emerges" (p. 30).

Virtue and vision

CHAPTER 3
IMPLICATIONS FOR THE STATE EDUCATION AGENCY

An understanding of the purposes and functions of the state education agency is necessary to conceptualizing how the Comprehensive System of Personnel Development can be realized through strategic planning and planned change efforts. To accomplish this understanding, it is useful to examine existing contexts in which a state education agency (SEA) functions, and the way this context affects the perceived purposes and capacities of the SEA. Equally important is an articulation of the potential of the SEA as a strategist, capable of exercising leadership, and purposefully engaging in planned change.

As is true in all organizations and endeavors, the state education agency operates in a context in which there are both threats to and opportunities for creativity and programmatic achievement. Some of these positive and negative circumstances surrounding SEA functioning are discussed in this chapter to stimulate consideration about engaging in strategic planning and planned change at the CSPD level and other levels of the state office.

THE CONTEXT AND ORGANIZATIONAL CLIMATE

State education agencies operate within the system of state government. As such, they function as administrative units of the educational system within states. As part of the larger system, SEAs are affected or driven by some of the same forces or pressures that influence the overall educational enterprise. SEAs are, however, also driven by additional external forces that may not impinge directly on the larger system.

External forces: societal, political, legislative, litigative

McCune (1986) discusses the nature of external forces upon the SEA and the notion that these forces have an evolution of their own. External forces and issues evolve into four categories: societal, political, legislative, and litigative. As time progresses and action either does or does not occur, any issue may evolve from a societal force to a political, then legislative one. Eventually, if not addressed, it may become litigation. According to McCune, the longer the issue goes unaddressed, the narrower the options become and the greater the SEA's liability becomes.

In terms of special education, it would appear that many SEAs are still dealing with longstanding forces and issues that have evolved into legislation and litigation. This may be due, in part, to a lack of capacity for developing proactive, rather than reactive, organizational behavior in response to environmental forces. McCune (1986) suggests that SEAs too often engage in "developing responses to head off threats, rather than building opportunities" (p. 4). In view of the pressures and demands, it is gratifying that many SEAs do, in fact, mount initiatives for change.

Considerable impulse for SEAs to view primary function as regulatory

Federal and state mandates, regulations, fiscal and budgetary requirements and restraints, data collection and reporting requirements, legal precedents and case law, and the combined pressures of conformity and compliance are just a few of the externally imposed forces that drive the day-to-day operations of the SEA. As a result, there is considerable impulse for the SEA to view its primary function as a regulatory one, and, by nature, SEAs are bureaucracies. All of these conditions tend to ground SEA behavior in "doing things right," rather than in "doing the right thing," despite the motivations of state personnel to innovate and lead.

Unstable environment can generate a product orientation

Further, the SEA's environment is unstable. Buffeted by external forces that are primarily political, SEAs experience staff turnover, potential or actual reductions in force, reorganization, and restructuring on a fairly regular basis. This climate can make it a daily struggle just to maintain what has already been put in place, and can generate a product orientation to produce short-term outcomes, rather than a process orientation, which requires time to pay off.

Public agencies and organizations are not known primarily for risk-taking, creativity, strategic behavior, and organizing targeted programs of planned change. Stein-Hudson and McDowell (1985) have advanced some reasons for this:

Reasons public agencies do not engage in strategic behaviors

- Public agencies operate under intense public scrutiny and political review.
- Public-sector decision-making, by its political nature, is less direct and more complex than that of private organizations.
- Public agency mandates are often set by law, and it is difficult to set new goals or move in new directions without legislative action.

- Public agency directors have less control than do their private sector counterparts over the resources available to their organizations, which makes implementation of strategic decisions more difficult.

In sum, for SEAs, determined public leadership, risk-taking, deliberate management of change, and proaction are not consistently rewarded, or rewarding, activities.

Risk-taking is not rewarded

THE FOUNDATION FOR CHANGE

There are considerable forces that continue to influence (and reward) functioning in a regulatory manner. Thus, it is not surprising that SEAs, regardless of internal motivation and creative leadership, have come to view their primary mission as administrative maintenance of the special education system within the state.

However, throughout SEAs in the country, there is a continual and growing awareness that an SEA's mission is more than simply the administrative maintenance of the existing system. Rather, the SEA's sense of purpose is evolving into a focus upon outcomes and effectiveness. SEAs are articulating missions that focus upon ensuring that effective special education and related services are delivered to all children and youth with disabilities, who are in need of such services. Such a mission necessitates that SEAs seek a balance between both leadership and regulatory functions.

Balance of leadership and regulatory functions is necessary

In contrasting the primary purposes of private businesses and public agencies, Stein-Hudson and McDowell (1985) note:

> "In the business world, the primary purpose is to place the company in the best market position to maximize profits. In the public agency, the purpose is to deliver effective services to the public... organizations must operate in complex, uncertain, and fast-changing environments... the days are past when public agencies can pursue straightforward, unambiguous missions, using ample resources to carry out their mandates in a predictable, relatively stable environment." (p.21)

McCune examines the changing role of the SEA and remarks that planned, comprehensive change is essential to "meet the new role of states in stimulating, encouraging and managing change... the role of the state agency has begun to change with greater emphasis being placed on technical assistance, consulting, training and other capacity-building activities." (p. 4)

SEA role is changing with emphasis on capacity-building activities

A realization is occurring as SEAs explore and articulate missions focusing on outcomes and effectiveness of special education, and as they examine functions that both enables and ensures the delivery of services. In order to accomplish the mission, SEAs are realizing that a critical SEA function is one of capacity-building. To enable and ensure the implementation of effective educational programs and services, SEAs realize that qualfied and sufficient numbers of personnel are necessary. And, as some SEAs have already recognized, the mechanism to drive the capacity-building function is the Comprehensive System of Personnel Development.

Mechanism to drive capacity-building function is the CSPD

THE SEA AND THE CSPD

As mentioned previously, the CSPD is a requirement of federal law that rests with the special education authority of SEAs. The SEA is the responsible entity for the planning, development, implementation and maintance of a system of personnel development. And, as some SEAs have realized already, this responsibility is tied directly to the achievement of an SEA's mission. This responsibility presents the opportunity for an SEA to excercise a leadership role.

The CSPD presents an SEA leadership opportunity

The requirement for the CSPD not only necessitates that an SEA assume an administrative role, i.e., complete the CSPD section of the state EHA-B plan, but also take on a leadership role to fully realize a comprehensive personnel development system. As defined in this document, the CSPD is more than federally required paperwork, rather the CSPD represents a mandated inter- organizational effort, that by regulation is to be facilitated by the SEA.

An SEA will need to assume the leadership in marshalling, directing and facilitating a supporting cast of key personnel development stakeholders and resources to realize this concept of this CSPD. And, as some have recognized already, SEAs are the appropriate leaders for this effort because of an SEA's positional authority within the state educational community, the SEA's regulatory authority to carry out the requirement, and ability to access resources.

THE SEA AS STRATEGIST

Because the Comprehensive System of Personnel Development implies (indeed requires) the strategic approach to decisions and actions, and a planful and deliberate approach to change, the CSPD

The CSPD is logical vehicle for applying strategic planning and planned change

offers a logical vehicle for applying the principles of strategic planning and planned change. Some SEAs have already recognized that this is true.

Ways in which strategic planning can assist SEAs

Strategic planning can assist SEAs in articulating a purpose or mission that encompasses the regulatory as well as leadership functions of the SEA. Furthermore, strategic planning can increase the probability that an SEA will effectively and efficiently achieve its mission through understanding, managing, and using the current turbulence in education as an opportunity to break through old structures and mechanisms and create new and more dynamic ones for schools, teachers, parents, and children. Strategic planning will provide a continuous flow of information and data, gathered through environmental scanning, that will assist the SEA in determining direction, marshalling resources, targeting areas for study and development, and in validating decisions made.

Ways in which planned change can assist SEAs

The principles of planned change can help SEAs to orient stakeholders, constituents, and others to accept and participate in constructive changes for education. Instituting a planned change approach will enable the successful and effective installation of innovative changes across programs and personnel. Planned change models can assist an SEA in altering the status quo - in attitude and practice. And, perhaps most helpful in today's climate of political, educational and social reform, planned change principles can facilitate an SEA's building of key linkage mechanisms between and among communities in the state educational system.

Other factors necessitating role of SEA strategist

Strategic decision-making and planned change are essentially ways of thinking about issues, problems, and challenges and acting on them. Thus, these concepts have the potential not only for transforming the management of education, but for transforming the managers and the way they view their work, their environments, their culture, the goals and dreams of practitioners and parents, the realities of society and the schools.

Despite organizational and environmental obstacles, state education agencies are emerging in the 1990's in new roles, with new expectations for dealing with the complex problems that have been developing for schools across the nation. One manifestation of this change is the growing participation of State Governors in both local and national school reform and restructuring. Governors' initiatives, sometimes extremely comprehensive and ambitious, involve SEAs in leadership and management of change.

Another manifestation is seen in the context of special education in the 1990's, as the states strive for progress in student outcomes and normalization, while also dealing with personnel shortages, changes in student demographics, increasing problems among children and youth, budget shortfalls, litigation, the increasing requirements of federal law and regulations, and other challenges.

SEAs as strategists: Be the change you want to see

Across many fields and endeavors, people are seeking leadership and leaders who can impart vision and a sense of perspective, and "raise the fundamental questions and identify the forces that are at work in both specific organizations and society in general. Such tasks require not only imagination but a real sense of continuity so that, to paraphrase Shelley, one can see the present in the past and the future in the present, clarify problems rather than exploit them, and define issues, not exacerbate them. In this way, one can elevate problems, questions, and issues into comprehensible choices for one's constituents" (Bennis, 1990, pp. 154-155). As Gandhi said, "We must be the change we wish to see in the world" (Bennis, 1990, p. 154).

SEA LEADERSHIP, THE CSPD AND CHANGE

The full realization of the CSPD rests with the authority and leadership of the SEA. And, as some SEAs have recognized, a key to not only achieving a mission, but also to continue effective day-to-day operation, is the function of exercising leadership in building personnel capacity. SEAs continue to seek an understanding, balance and integration of both the leadership and regulatory functions, in order to operate effectively in today's climate of change.

The principles of strategic planning and planned change can assist an SEA in not only articulating a mission, but also in ensuring that the mission is attained through the successful management of change. Strategic planning and planned change technologies are useful and important tools for managing and instituting change, exercising leadership and most particularly for achieving success with the CSPD.

CHAPTER 4
A STRATEGIC SCENARIO FOR THE CSPD

This chapter summarizes an entire strategic planning process as it might relate to the Comprehensive System of Personnel Development, and it relies on many of the resource materials that are included at the end of this volume. Its basis is the appended overview of an eight-step strategic planning process (Bryson, 1988) but it takes liberties with that model and adds information from other materials that appear in the resource section.

The strategic planning process is not linear

The strategic planning process is not completely linear and does not necessarily have a beginning and an end. So, although the parts of the process are set forth as if they were sequential, this is not the way they should be understood in practice. In reality, strategic thinking and planning represent a continuous examination of the system to see how its resources and relationships can be repositioned for greater effectiveness.

The principles of planned change emerge as essential parts of this process when strategies are developed to address problems and issues that have been identified. *Strategic planning makes it possible to pinpoint and describe the forces, problems, and opportunities that confront the organization. The principles of planned change are basic to the strategies developed to modify these forces, solve these problems, take advantage of these opportunities, and achieve the mission of the organization.* For this reason, the resource materials also contain selected information on aspects of planned change.

Steps in strategic planning

The major steps in the entire strategic planning process, as set forth in this chapter, are as follows:

- Define the organization.
- Prepare for strategic planning.
- Agree on a strategic planning process.
- Clarify the organization's mandates.
- Conduct a stakeholder analysis.
- Clarify the organization's mission.

- Establish a strategic information scanning system.
- Scan the external environments.
- Assess the organization's internal environment.
- Identify strategic issues facing the organization.
- Develop goals to address the strategic issues.
- Develop strategies to achieve the goals.
- Establish an organizational vision of the future.
- Write it all down, wrap it all up, and get the word out.

DEFINE THE ORGANIZATION

The Comprehensive System of Personnel Development implies the joining of various agencies, institutions, and other entities into an organizational whole, so that these communities may work together in various ways with the problems and opportunities that emerge. "Wherever there is some specific objective to be accomplished, the realization of that goal requires the development of an organization that has recognizable and viable structures" (Hage & Aiken, 1970, p. 5).

Identify the entities that need to come together

What parts comprise the whole? A first step is to identify the necessary and desirable entities that should be organized to come together in behalf of the CSPD, because they are connected with its problems and solutions. All of these communities will not be directly involved in the strategic planning process, but strategic planners need to consider all of those who will affect and be affected by strategic planning as part of the CSPD organization. Some creative brainstorming should lead to a broader recognition of the range of communities that have connections to the CSPD. For example, the role of general education in CSPD issues should be acknowledged, as should the need to understand special education personnel supply/demand/quality issues within the larger context of general education. Further work concerning the parts of the organization will occur in stakeholder analysis, but an understanding of the organization **as an organization** is desirable at the outset.

What makes the organization recognizable to participants and other publics? Different aspects of the strategic planning process will clarify several necessary dimensions of the organization, such as:

The organization's dimensions

- The name of the organization (which has clarity and meaning to all of the communities to be involved).
- Development of objectives (a mission) that provide participants with a common frame of reference.
- Specification of the job that needs to be done by the organization.
- The delineation of tasks and roles that describe the activities of participants.
- Development of a recognizable pattern that characterizes the way the organization operates.
- Development of ways to evaluate the performance of the organization.

PREPARE FOR STRATEGIC PLANNING

The organization to address the CSPD will be a collective of interests and roles, each of which has its own expertise, skills, powers, rules, and rewards. Key decision makers or opinion leaders within this collective need to agree on the need for strategic planning and on the steps to be undertaken in the process.

Who starts strategic planning? Some community (agency, institution, group) must act as a catalyst to initiate strategic planning for the CSPD. Although the catalyst is usually the state education agency, the existing CSPD Committee might decide to start a strategic planning process.

The catalyst

Who carries out the strategic planning process? The next step is to identify the key people who should be directly involved in the actual process of strategic planning. These will include decision makers and/or opinion leaders from the major communities that must take leadership to address CSPD issues (e.g., the state education agency, local districts, higher education, parents as consumers, the state's Special Education Advisory Committee and others). Because change is an expected result of strategic planning, it is vital to include those people who are truly in a position to enable (or block) change.

The planners

Because strategic planning is a continuing process (rather than a limited event), individual representatives may vary over time, but the need to involve people with the necessary clout remains constant.

What about the other parts of the CSPD organization? Other individuals and communities should be informed of, and endorse, the process. Among others, these will include those who have to buy in, politically, if the plan is to succeed, although they are not necessarily part of the planning body. While these entities may not be directly involved in strategic planning, they will influence and by influenced by the process. For example, while the state teachers' union may not need to be directly involved in the strategic planning process, this community may be critical to its outcomes. (See "Stakeholder Analysis" page 47.)

AGREE ON A STRATEGIC PLANNING PROCESS

Key decision makers and opinion leaders must understand and agree to the purposes and processes involved in the strategic planning effort, which is described in a written plan that covers at least the following considerations. A very clear description of the agreed-upon steps will prevent confusion as planning progresses.

Who manages the process? The group that is empowered to oversee and manage the strategic planning effort must be appointed, and the roles, functions, and membership of this group must be specified. The necessary facilitation, management, and reporting tasks should not be left to chance, and the capacity of the managing group for completing these tasks should be thoroughly examined. Because the management function may rest with a group that is also a key stakeholder, it is often desirable to include external consultants (who do not have a vested interest) to facilitate certain aspects of planning and/or to organize certain interim outcomes that are fed back to the strategic planners.

Management and participation

What do the strategic planners do? The membership, roles, and functions of the strategic planning teams must be defined, and expectations for participation and task completion should be made very clear. There must be understanding and agreement on the responsibilities and time commitments of the participants, as well as a visible commitment from above. Coaching and training in the strategic planning process may be very helpful.

What are the steps in the strategic planning process? The steps to be taken should be agreed upon. Variations in the process are available, and the steps that respond to a particular context should be formally endorsed as the process that will be used. (One version is shown in "An Eight-Step Strategic Planning Process" in the appended resource materials; other sources are shown in the bibliography; consultant-trainers may provide other alternatives.)

What are the inputs, outputs and timelines? The strategic planning process will require the convening of participants at various times, will require information for participants' use, will generate interim products that are used for subsequent steps, and will also generate final reports and strategies. Thus, the plan should project a timeline for meetings, data collection, reports, and other anticipated milestones. "Rolling planning" (actions that lead to new actions) suggests that these plans may be amplified as the process takes shape, but there should be an early picture of the expected requirements of the effort. Further, although an intensive session over several days is a useful way to begin strategic planning, the overall process occurs over time and should be understood as a continuing effort to produce the stream of information and decisions that will move the organization into the future.

Milestones for products, events, activities

What resources support the strategic planning effort? Human, fiscal, informational, and other resources will be necessary for strategic planning and must be committed at the outset. Part of the initial agreement may include the identification of funding sources and the pursuit of resources.

Resources

CLARIFY ORGANIZATIONAL MANDATES

Various requirements, mandates, or "musts" that already govern the organization and its parts need to be recognized, and participants' perceptions of these mandates should also be examined.

What are the organization's mandates? Existing mandates will include federal and state laws and regulations and other charters, by-laws, and policies that may apply to the CSPD organization as a whole or to different entities that form its parts. There should be clarification of how these mandates influence the CSPD. (An eventual outcome of strategic planning may be to recommend changes in such mandates, but, at the outset, the focus is on their current impact.)

Laws and regulations

Mandates and minimums

What are participants' beliefs about these mandates? Rules regulations, and policies can instill bureaucratic thinking in which people form limited viewpoints about what can and cannot be done, often supposing that nothing can be undertaken unless it is specified in mandates. The language of mandates should generally be seen as minimum requirements, while the work of the planning group should venture beyond the minimum. Unrealistic beliefs about mandates should be surfaced and revised.

CONDUCT A STAKEHOLDER ANALYSIS

The first step in developing a mission

A stakeholder analysis is the first step toward developing the mission, because the mission statement should clarify purposes in ways that can eliminate unnecessary conflict and guide discussion and activity. An important mission can also create inspiration among stakeholders.

Who are the stakeholders? Within the CSPD organization, the stakeholders are identified as those people and communities (organizations, agencies, institutions) that can place a claim on the organization's attention, resources, or decisions, or who are affected by outcomes.

Different people are connected differently to the CSPD

What stake do various individuals and communities have in the organization and/or its outcomes? Different people and groups will have different interests in, and connections with, the organization, its processes and outcomes. A few ways to think about stakeholders and their relevance to the CSPD are as follows:

- Decision makers are those responsible for making major decisions and/or who can block decisions and outcomes.
- Opinion leaders within a community are perceived as worthy of belief and can thus influence the perceptions and reactions of other.
- Gatekeepers can control the flow of information and activity into and out of a community.
- Targets are those who must implement change in practice.
- Clients are those who will have to seek assistance in order to ensure that change is carried out.

- Consumers, including predominantly parents and students, are the beneficiaries of the outcomes.

What is the relative importance of different stakeholders and how do they influence the organization? This analysis should help in the development of a mission statement that will be inclusive of the various stakeholders' interests, and in the later development of change strategies that can positively influence major stakeholders.

- This aspect of the analysis should also determine what the organization needs from the various stakeholders, in terms of funds, political support, other resources or involvement.

What are the criteria for judging the organization's performance, and how well does the organization perform in terms of these criteria? This analysis involves an assessment of how the CSPD has functioned in the past, whether it is perceived as an organizational effort, whether its purposes and operations are clear, what its outcomes have been and whether they have been recognized, what expectations are held by different stakeholders, whether expectations have been met, evaluative criteria that have been used and their relevance, and other factors that suggest how stakeholders currently judge the CSPD and how ready they may be to participate and cooperate.

Performance and perceptions

CLARIFY THE ORGANIZATIONAL MISSION

The mission statement should reflect a common vision that can be embraced across the parts of the organization and its stakeholders, and its vision should encompass goals that are achievable. The mission statement provides a reference point for the other steps in strategic planning which, in turn, may lead to later modifications of the mission. Among the questions that may guide the development of a mission statement are the following:

The reference point for strategic planning process

Who are we as an organization?

- What "business" are we in; what business should we be in?
- What is different about our situation, as compared to five years ago?
- What is likely to be different about our situation five years in the future?

- What are our main economic concerns?

Why do we exist? What is our basic purpose?

- What are the basic needs (educational, social, political) we exist to fill, or the basic needs we exist to address?

- What populations do we serve (and should we serve)?

What do we do (and what should we do) to anticipate, recognize, and respond to these needs or problems? Among the issues involved in determining the approach to needs and problems are the following:

- Is the organization active or passive?

- How does the organization ensure that it is a means toward an end, and not an end in itself?

- Are members of the organization praised or punished for bringing in feedback about contradictory events in the environment, or about critical evaluations of stakeholders.

What makes this organization distinctive or unique?

How should we respond to our key stakeholders?

- What special considerations do we have with regard to various types of stakeholders?

What is our vision of special education for the future, and what is implied by this vision?

This question may be the very first question. to answer

or it may be the last

- What philosophical issues are important to our organization's future?

- What is our philosophy of special education, and what are our core values?

- What IS special education? Where should it be going?

- What outcomes do we want for students and personnel in the future?

What would an effective and efficient CSPD look like?

- Who would be part of it?
- How would it function?
- How would it be structured?
- How would it change over time?
- How/where does it fit within the larger educational context?

ESTABLISH A STRATEGIC INFORMATION SCANNING SYSTEM

Scanning the environments in which the CSPD is embedded will furnish information on what is occurring and developing in these environments that will influence the future, and make it possible to use this information constructively in plans and strategies. The results of scanning must include all possible objective quantitative (as opposed to global suppositions), as well as qualitative information. Further, as is true across strategic planning, environmental scanning is a continuous process, and the data it yields are used continuously.

Continuous information gathering

What strategic information needs should be tracked? The mission statement will indicate many information needs. Data that are retrieved will suggest further data needs, and the evaluation of options and alternatives may require still other information. The identification of strategic information needs continues as a constant activity.

The PEST taxonomy

How can environmental information be categorized? In business and industry, the minimum four-category taxonomy that is often used consists of: political, economic, social, and technological (PEST) trends. For CSPD purposes, other categories may be added, according to the context of a given state or locality.

What sources of information are used? A wide variety of information sources should be used, such as newspapers, magazines, journals, electronic information services, databases, newsletters, conferences and conference programs, clearinghouses, reports, surveys, incidence figures, census and demographic data, needs assessments, education statistics, economic data, and so on.

A human "radar and sonar" system

Who scans the environment for strategic information? The strategic planning team will certainly be involved in scanning, but others can also participate. Roles may be assigned to many participants in the organization, who may be assigned specific information needs and the monitoring of certain sources. These people should act as the "radar and sonar system" for the strategic planning process, and as needs sensors who are habitually alert for strategic information.

What do we do with information from the environment? The results of environmental scanning are used in the strategic planning process to identify trends, threats, and opportunities, and to develop options and alternative strategies for achieving the mission. Important results of environmental scanning should also be shared across the organization so that all participants can develop a more common knowledge of the environmental forces that influence the CSPD and subsequent decisions about implementing it. Therefore, a system should be devised for storing and disseminating the information that is collected.

SCAN THE EXTERNAL ENVIRONMENTS

The external environments present forces and trends which influence the organization and which may be viewed as threats or opportunities (or both). Continuous scanning of external environments elicits information that is an important foundation for strategic planning.

Multiple environments

What are the environments to be scanned? The multiple environments that might be considered in strategic planning for the CSPD include the following. Each larger environment impinges on succeeding smaller ones.

- The macro environment (trends in the larger society and in national or state policy).
- The education industry environment (trends in the structure, financing, and expectations of education).
- The personnel supply/demand environment (trends in the supply of, demand for, and quality of personnel).

- The consumer environment (trends in the concerns, needs, and attitudes of parents, students, and the public).

What kinds of information should be retrieved from these environments? The following questions may clarify and guide the collection of information from each of the above environments:

Using the PEST taxonomy

- What POLITICAL trends and forces are present in the environment, and what threats and opportunities do they imply?
- What ECONOMIC trends and forces are present in the environment, and what threats and opportunities do they imply?
- What SOCIAL trends and forces are present in the environment, and what threats and opportunities do they imply?
- What TECHNOLOGICAL trends and forces are present in the environment, and what threats and opportunities do they imply?
- What developments are occurring among STAKEHOLDER GROUPS as a function of trends and forces in the environment?
- What SCENARIOS might be devised to explore options and examine alternative futures in the external environment?

ASSESS THE ORGANIZATION'S INTERNAL ENVIRONMENT

Resources, strategies, performance, and impact

The organization's internal environment is composed of such characteristics as climate, culture, competence, capacity, leadership, structure, staffing, funding, and many other variables. Assessing the internal environment means identifying strengths and weaknesses in the organization's resources (inputs), present strategies (processes), performance and impact (outputs). Resources, strategies, performance, and impact are of equal and strategic importance, and an understanding of these factors in the present can furnish a basis for testing alternative structures and configurations in the future.

What information should be retrieved about the internal environment? The answers to the following questions will provide considerable information about the status of the organization, and further questions may be desirable for assessing the organization that surrounds the CSPD.

- What are the organization's resources (inputs)? What are the STRENGTHS of the resource base, and what are the WEAKNESSES of the resource base?

- What are the organization's present strategies (process)? What are the STRENGTHS of the present strategies, and what are the WEAKNESSES of the present strategies?

- What are the organization's performance outcomes and impacts (outputs)? What are the STRENGTHS of outcomes and impacts, and what are the WEAKNESSES of outcomes and impacts?

IDENTIFY THE STRATEGIC ISSUES FACING THE ORGANIZATION: A DISCREPANCY ANALYSIS

Discrepancies between where the organization is and where it wants to go

The results of the earlier steps in the strategic planning process will form a basis for identifying strategic issues, which are the fundamental questions or problems that are affecting the inputs, processes, and outcomes of the organization. Using the mission as a reference point, discrepancies will appear between where the organization currently is, and where it wants to go. Clarifying strategic issues will usually involve conflict resolution in terms of the ends or goals to be endorsed; the means to the ends; the philosophy and values governing means and ends; location and timing; and the interests of various groups that may be at an advantage or disadvantage as a result of different ways of solving problems.

How are strategic issues described? Each strategic issue may be described according to the following steps, which will also help to rule out issues that turn out not to be strategic.

- Frame the issue as a question that the organization can do something about.

- Describe the issue succinctly, preferably in one paragraph.

- List the factors that make the issue a fundamental policy question (specifying what it is about mandates, mission, values, external threats and opportunities, internal strengths and weaknesses that make this a strategic issue).

- List the consequences that will occur if the issue is not addressed. The magnitude and intensity of the consequences will

show how strategic the issue is and how important it is for the organization's survival and effectiveness.

SET GOALS TO ADDRESS THE STRATEGIC ISSUES

Goals relate to the strategic issues, and should represent the anticipated outcomes pertaining to addressing/solving the issues. Goals are broad statements that relate directly to supporting the mission, and may encompass more than one strategic issue. However, goals should be accountable, i.e., how will the planning team know when the goal has been achieved? Goals encompass actions, people, processes and anticipated end products or outcomes that support and define the organizations's mission.

Use the strategic issues to develop the goal statements

How are goals developed? The following steps are one possible way to frame goal statements:

- Take the strategic issues, and see if each one can be phrased as a goal:
  - Begin each statement with an action verb, e.g., to develop, to produce, to complete, to increase.
  - Identify a "what" in each goal statement, e.g., "the pool of qualified and available personnel, "a set of policies pertaining to evaluation of teaching personnel, etc.
  - Identify a "who" in each statement, e.g., who is going to develop, produce, complete, or increase.
  - Include a "how" for each statement. For example, state broadly how the pool of qualified and available personnel will be increased.
  - Include a "when" for each statement. This generally specifies a date or time period by which achievement of the goal is anticipated.

  In some cases, a goal statement may be developed that covers more than one strategic issue.

- Using the mission statement as the reference point, ask the following questions about each goal:

- How does this goal relate to the mission? Is the relationship clear?

- If this goal is achieved, will it contribute to the accomplishment of our mission?

- Is this goal accountable? Can we measure whether or not this goal has been achieved? How will we know? How will we judge whether or not we were successful?

DEVELOP STRATEGIES TO ACHIEVE THE GOALS IMPLIED BY STRATEGIC ISSUES

Planned change principles become significant in strategy development

Strategies are developed to achieve the goals, which in turn address the strategic issues or problems that have been identified, and it is at the stage of strategy formulation that the principles of planned change emerge as paramount. The planning of change will be a key element in strategies that are effective in achieving the goals.

How are strategies developed? The following process is one guide to the development of strategies for addressing the goals. Strategy options and alternatives may be ruled out at different stages in this process if they appear to be inappropriate or unachievable.

Identify practical options as well as dreams

- Identify practical options and alternatives, as well as dreams or visions as options for achieveing the goals.

- Identify possible barriers to achieving these strategy alternatives.

Develop proposals

- Develop major proposals for achieving alternatives directly, or indirectly (by overcoming barriers through the planned change). The strategic planning team may develop proposals, or proposals may be solicited from organizational units and communities, stakeholder groups, task forces, or selected leaders.

Apply criteria for determining effectiveness

- Apply criteria for determining that a proposed strategy will be effective. For example:

  - Is the strategy workable?

  - Is the strategy based on valid assumptions?

- How does the strategy match the strengths and weaknesses of the organization?
- What are the right kinds and quantities of resources for pursuing this strategy? Would resources be spread too thin on options that are too large or complex; would resources be wasted on strategies that are inadequate?
- Is the strategy politically acceptable to key stakeholders?
- How does the strategy relate to the organization's philosophy and values?
- What outcomes can be expected of the strategy? What needs will be met?
- What would be the impact of the strategy on other parts of the system (impact networking analysis)?

- Describe the actions needed to implement effective proposals over the coming two or three years, including the communication of the strategy and its purposes.

- Describe a detailed work plan for the coming six to twelve months to implement the strategy, on the basis of "rolling planning" in which actions can lead to new actions. The work plan will include the use of principles of planned change as a means for implementing the strategy and achieving its goal.

Develop detailed implementation plan

ESTABLISH AN ORGANIZATIONAL VISION OF THE FUTURE

The organizational vision is larger than its mission statement and depicts what the organization should look like as it continues to scan its environments, identify strategic issues, implement strategies, and achieve its potential. The communication of this organizational vision will allow all participants to know what is expected of them. It will also enable them to act on their own initiative as part of the CSPD organization, on the basis of a shared understanding of what the organization is, what it does, and why it exists.

What is included in a description of the organizational vision for the future? The vision for the future should be clear, forceful, and inspiring, and should include:

- The mission statement.
- Descriptions of the strategic issues that have been identified.
- Descriptions of the basic strategies for addressing these issues.
- Performance criteria.
- Decision rules.
- The ethical standards expected of all participants.

SUMMARY: VISUALIZING THE CSPD FOR STRATEGIC PURPOSES

In order to avoid a "cookbook" approach, to allow for the many variables and variations surrounding personnel issues, and to acknowledge that missions and strategies must vary in relation to states' contexts, no attempt has been made in this document to portray exactly how strategic planning and planned change for the CSPD might take place with reference to such issues as personnel supply, demand, and quality. What is offered, instead, is a visual representation of how the parts can coalesce within the organization of a state education agency and its constituencies.

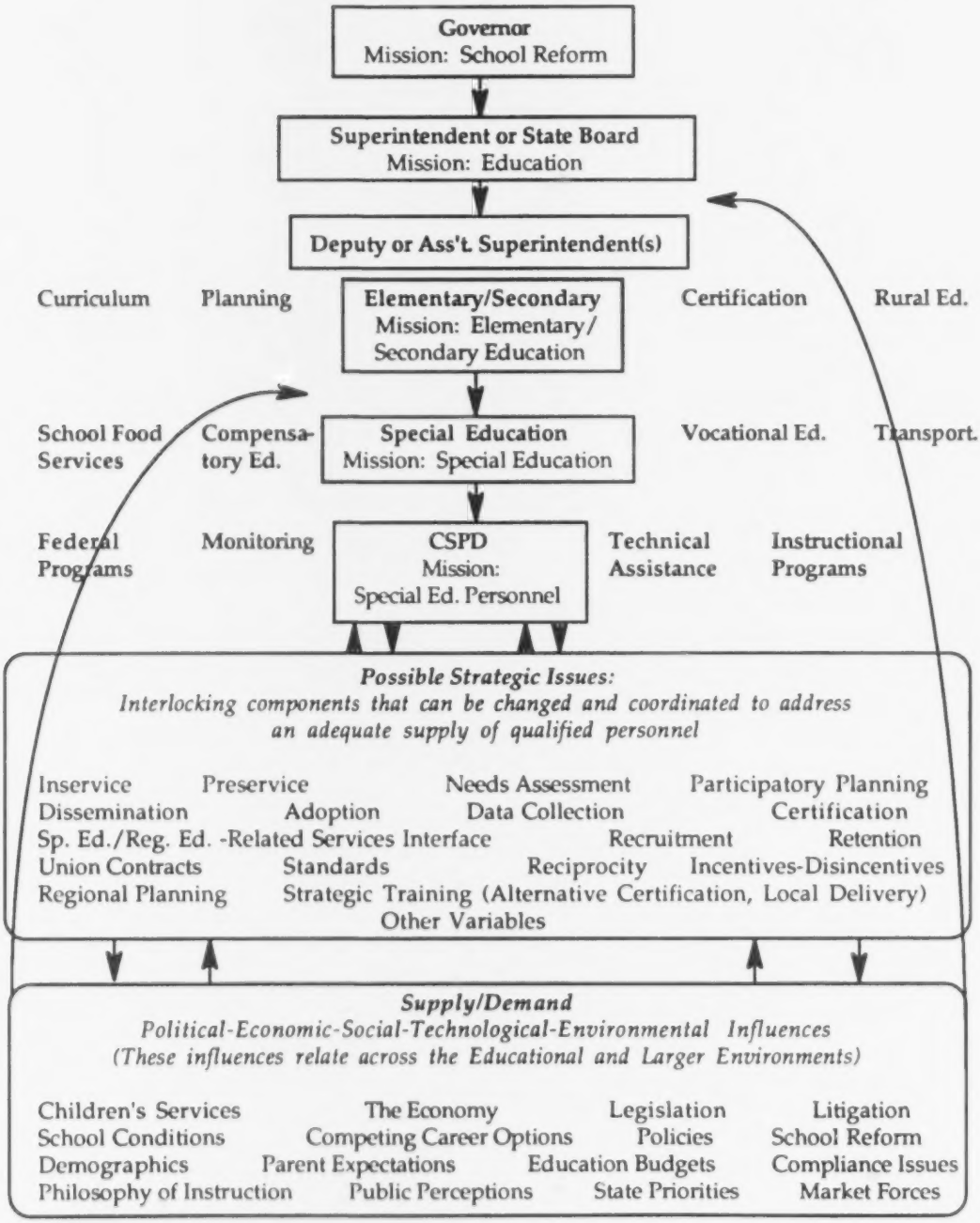
Figure 3 visualizes the CSPD for strategic purposes, and is based on an approximation of a state education agency's organization chart. Figure 3 assumes that mission or vision statements begin at the broadest level at the Governor's office, becoming more targeted as they move down through the hierarchy of responsibility. Under the CSPD responsibility in the Division of Special Education, a large number of components are represented (as a sample). All of these components may be relevant to strategic issues that are identified and to strategies developed to ensure an adequate supply of qualified personnel. These components do not operate in isolation, but are part of an interlocking whole.

Under the entire CSPD arena lies supply and demand, in the context of the environments which influence the market for and the availability of personnel. The factors depicted (and many others) can be clarified through scanning the political, economic, sociological, and

technological environments of education and the larger society. These environments touch across all parts of the system and beyond it. The factors that influence supply and demand will become the threats and opportunities that strategic planning must deal with in taking actions today that will secure a better future for the education of children and youth with disabilities.

Figure 3

Visualizing the CSPD for Strategic Purposes



Source: J. Smith-Davis, 1991

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Practical Resource Materials

PRACTICAL RESOURCE MATERIALS FOR STRATEGIC PLANNING AND PLANNED CHANGE

THIS PORTFOLIO contains a number of papers that have been summarized from the literature on strategic planning and planned change. They have been reduced to their essential elements, and visuals, checklists, sets of questions, and other practical instruments have been devised for readers to apply and modify in their own settings and with their own participants.

THESE CONTENTS do not represent complete coverage on either strategic planning or planned change. Rather, they are some examples of a few strategies and guidelines that may be helpful as a starting point for exploring and using these methodologies.

A BIBLIOGRAPHY on strategic thinking and planned change is included at the end of this summary section. Readers are invited to read the entire contents of the publications that are the sources of material in this book, and the additional references included in the bibliography. No complete understanding of these concepts can be gained without a more in-depth and detailed study than is possible to provide here -- and without the skills that can be gained only by trying out these ideas in practice.

ANY BOOK ABOUT CHANGE should be expected to create some change itself. As you review material, we hope that you will find at least two new ideas that you are willing to try in your own work. If that occurs, then some change will have occurred as a result of this effort.

STAY TUNED FOR MORE!

Because the excerpts, summaries, and abridgments presented here reflect only a very small portion of available concepts and strategies, we will be continuing to develop additional materials. These will be disseminated in the future on SpecialNet's CSPD bulletin board, as they become available. In turn, all readers of this book are invited to share their own ideas and efforts in strategic planning and planned change on the CSPD bulletin board.

AN EIGHT-STEP STRATEGIC PLANNING PROCESS

* OVERVIEW

* THE EIGHT STEPS

* SUMMARY OUTLINE IMPLEMENTING EACH STEP

This summary is an adapted outline guide for becoming acquainted with, and using, the app. ach to strategic planning described by John M. Bryson in his 1988 book called ***STRATEGIC PLANNING FOR PUBLIC AND NONPROFIT ORGANIZATIONS***. It has been adapted with permission from the publishers and is presented as an introduction to one comprehensive strategic planning process.

It is recommended that readers review Bryson's complete volume for a fuller understanding of this process. The book is available from Jossey-Bass Publishers, 350 Sansome Street, San Francisco, California 94104. Customer service number: 415/433-1767.

AN EIGHT-STEP STRATEGIC PLANNING PROCESS

The following material is from John M. Bryson (1988), who emphasizes that:

* There is no one concept or procedure that characterizes strategic thinking and planning;

* Rather, a variety of approaches are applicable to different settings and situations; and

* "While any generic strategic planning process may be a useful guide to thought and action, it will have to be applied with care in a given situation, as is true of any planning process" (p. 43).

With those qualifications in mind, Bryson (1988) presents his preferred approach to strategic planning for public agencies and nonprofit organizations as an EIGHT-STEP STRATEGIC PLANNING PROCESS (pp. 47-70). The steps are listed below, followed by a summarized explanation of each in outline form. As Bryson points out, although the steps are presented on paper as if they were linear or sequential, the actual process involves recurring and overlapping activities "as groups continuously rethink connections among the various elements in the process on their way to formulating effective strategies" (p. 70).

THE EIGHT-STEPS

Step 1. Initiate and agree on a strategic planning process.

Step 2. Clarify organizational mandates.

Step 3. Clarify the organizational mission and values.

Step 4. Assess the external environment: Opportunities and threats.

Step 5. Assess the internal environment: Strengths and weaknesses.

Step 6. Identify the strategic issues facing the organization.

Step 7. Formulate strategies to manage the issues.

Step 8. Establish an effective organizational vision for the future.

THE EIGHT-STEP PROCESS SUMMARY

Step 1: Initiate and Agree on a Strategic Planning Process

THE PURPOSE of this step "is to negotiate agreement with key internal (and perhaps external) decision makers or opinion leaders about the overall strategic planning effort and the key planning steps" (p. 48). Initially, this involves determining:

* Who will initiate this process?
* Who are the key decision makers who must be involved?
* Who are the other people, groups, units, or organizations who should be involved in the initial agreement?

THE AGREEMENT should describe the purpose of the effort:

* What are the preferred steps in the process?
* What is the expected form and timing of reports?
* What are the roles, functions, and membership of any group that is empowered to oversee the effort?
* What are the roles, functions, and membership of the strategic planning team?
* What resource commitments will be necessary in order to proceed?

Step 2: Clarify Organizational Mandates

FORMAL AND INFORMAL MANDATES are the "musts" that confront the organization. Questions such as the following are helpful in clarifying these requirements:

* What are the organization's mandates (e.g., legislation, regulations, charters, articles, by-laws, contracts), and what do they say?
* Do the organization's members believe that they are more tightly constrained than the content of these mandates indicates?
* Do the organization's members believe that, if they are not explicitly directed to do something, they are not allowed to do it?

Step 3: Clarify the Organizational Mission and Values

The mission statement must do more than justify the existence of an organization. A useful mission statement will also clarify purposes in ways that can eliminate unnecessary conflict and guide productive discussion and activity. Having an important mission can also create inspiration among stakeholders (particularly employees).

STAKEHOLDER ANALYSIS is the first step toward clarifying the mission. This analysis will help to determine whether the organization needs different missions -- and possibly different strategies -- for different stakeholders.

* Who are the stakeholders? Who are the people, groups, or organizations "that can place a claim on an organization's attention, resources, or output" or are "affected by that output" (p. 52)?

* What stake do these players have in the organization or its output?

* What are their criteria for judging the organization's performance, and how well does the organization perform in terms of these criteria?

* What is the relative importance of different stakeholders?

* How do the stakeholders influence the organization?

* What does the organization need from the various stakeholders in terms of money, political support, or other resources?

THE MISSION STATEMENT is developed by a strategic planning team after the stakeholder analysis has been completed. Although the mission statement itself may be short, it should be developed through lengthy discussions of the following questions:

* Who are we as an organization (or community)?

* In general, what are the basic social or political needs we exist to fill, or the basic social or political problems we exist to address?

* In general, what do we do to anticipate, recognize, and respond to these needs or problems? On the basis of the answers to this question, additional areas of inquiry arise, such as:

  - Is the organization active or passive?

  - How does the organization ensure that it is a means toward an end, and is not an end in itself?

- Are members of the organization praised or punished for bringing in feedback about contradictory events in the environment or about critical evaluations of stakeholders?

* How should we respond to our key stakeholders?

* What is our philosophy, and what are our core values?

* What makes this organization (or community) distinctive or unique?

Step 4: Assess the External Environment

THE PLANNING TEAM should explore the external environment of the organization to identify the forces and trends that are present. It is essential that the assessment focus not only on the threats presented by changes in the environment, but also emphasize the inherent opportunities. The forces and trends to be identified may be classified as PESTs (an acronym that refers to political, economic, social, and technological factors).

Because an organization's governance and employees will have varying levels of awareness of external trends and forces, a relatively formal process should be used for external assessment that will provide the "radar and sonar" to scan the outside world for signals that may influence the organization. This assessment should provide information to answer such questions as:

* What political trends and forces are present in the environment, and what threats and opportunities do they imply?

* What economic trends and forces are present in the environment, and what threats and opportunities do they imply?

* What social trends and forces are present in the environment, and what threats and opportunities do they imply?

* What technological trends and forces are present in the environment and what threats and opportunities do they imply?

* What developments are occurring among stakeholder groups as a function of trends and forces in the environment?

* What scenarios might be devised to explore options and examine alternative futures in the external environment?

Step 5: Assess the Internal Environment

INTERNAL ASSESSMENT involves identifying strengths and weaknesses in resources (inputs), present strategies (process), performance and impact (outputs). Although most organizations have abundant information on their resources, they are often less clear about present strategies, and about performance and impact. Yet, external stakeholders typically judge an organization on the basis of performance criteria, and performance information is vital to the capacity for comparing alternative strategies, resource allocations, organizational designs, and other possibilities that might lead to greater effectiveness and efficiency. Internal assessment will, therefore, answer such questions as:

* What are the organization's resources (inputs)?
  - What are the strengths of the resource base?
  - What are the weaknesses of the resource base?
* What are the organization's present strategies (process)?
  - What are the strengths of present strategies?
  - What are the weaknesses of present strategies?
* What are the organization's performance outcomes and impacts (outputs)?
  - What are the performance strengths?
  - What are the performance weaknesses?

Step 6: Identify the Strategic Issues Facing the Organization

STRATEGIC ISSUES are the "fundamental policy questions affecting the organization's mandates, mission and values, product or service level and mix, clients, users or payers, cost, financing, and management" (p. 56). The understandings generated in the earlier steps furnish a basis for identifying strategic issues, and may also lead to recognition of the need to create a new mission for the organization. The clarification of strategic issues will usually entail conflicts to be dealt with, in terms of:

* WHAT: The ends to be endorsed.
* HOW: The means to the ends.
* WHY: Philosophy and values.

* WHERE: Location.

* WHEN: Timing.

* WHO: Groups that might be at an advantage or disadvantage as a result of different ways of resolving an issue.

STATEMENTS OF STRATEGIC ISSUES may be developed as follows:

* Frame the issue as a question that the organization can do something about.

* Describe the issue succinctly, preferably in one paragraph.

* List the factors that make the issue a fundamental policy question.

  - What is it about mandates, mission, values, external threats and opportunities, internal strengths and weaknesses that make this a strategic issue? (Keep in mind that the way issues are framed will form the basis for their subsequent resolution.)

* Set forth the consequences that would ensue if the issue is not addressed.

  - The intensity of consequences will reveal how strategic the issue is, and will help the organization to focus on what is truly important for its survival, prosperity, and effectiveness.

Step 7: Formulate Strategies to Manage the Issues

A STRATEGY is "a pattern of purposes, policies, programs, actions, decisions, or resource allocations that define what an organization is, what it does, and why it does it. Strategies can vary by level, function, and time frame" (p. 59). Effective processes for formulating and implementing strategy will link the following into a coherent pattern across levels, functions, and time:

* Rhetoric (what people say);

* Choices (what people decide and are willing to pay for); and

* Actions (what people do).

A FIVE-PART STRATEGY DEVELOPMENT PROCESS may proceed as follows:

* Identify practical alternatives, as well as dreams or visions for resolving strategic issues.

* Identify the barriers to achieving the alternatives, dreams, or visions.

* Develop major strategy proposals for achieving alternatives, dreams, or visions, directly or indirectly, through overcoming barriers. (This might be done by the planning team, or proposals might be solicited from organizational units, stakeholder groups, task forces, or selected individuals.)

* Apply criteria for determining that a proposed strategy will be effective:

  - Is the strategy technically workable?

  - Is the strategy politically acceptable to key stakeholders?

  - Does the strategy respond to the organization's philosophy and core values?

* Identify the actions needed over the coming two to three years to implement major proposals with existing personnel/participants.

* Spell out a detailed work program for the coming six to twelve months to implement the actions, naming those who are responsible for each action step.

Step 8: Establish an Effective Organizational Vision for the Future

THE FINAL PHASE is describing what the organization should look like as it successfully implements its strategies and achieves its full potential. This description will allow members and participants to know what is expected of them, so that they are free to act on their own initiative within the boundaries of, and in the service of, the shared vision and purposes of organization or community. "A challenging yet achievable vision embodies the tension between what an organization WANTS and what it CAN HAVE. Often several cycles of strategic planning are necessary before participants know what they want, what they can have, and how the two differ" (p. 61).

* The description of the organizational vision for the future will typically include:

  - A statement of the mission.;

  - Descriptions of the basic strategies;

  - Performance criteria;

- Important decision rules; and
- The ethical standards expected of all participants.

* The vision for the future should be clear, forceful, and inspiring, and expressed on no more than a few pages.

REFERENCE

Bryson, J. M. (1988). ***STRATEGIC PLANNING FOR PUBLIC AND NONPROFIT ORGANIZATIONS: A GUIDE TO SUSTAINING ORGANIZATIONAL ACHIEVEMENT***. San Francisco, CA: Jossey-Bass Publishers, pp. 43, 47-70. (Contact Jossey-Bass Publishers, 350 Sansome Street, San Francisco, CA 94104. Customer service number: 415/433-1767.)

ROLES, COMMITMENTS, AND RESPONSIBILITIES FOR STRATEGIC PLANNING AND PLANNED CHANGE

* TYPES OF COMMITMENTS NECESSARY FOR PLANNING STRATEGICALLY AND BRINGING ABOUT CHANGE

* ROLES OF THE KEY PARTICIPANTS

Six types of commitment, starting with the leadership of senior administrators, are briefly described in this summary. Also included are thumbnail sketches of key roles and responsibilities of the planning team, with emphasis on the team involved in the Comprehensive System of Personnel Development.

This information may be useful for ensuring that basic commitments are made to support the strategic process. It may also reflect some factors that may have influenced the relative success or lack of success of previous efforts in participatory planning or change.

This summary may be used as a basis for role clarification among the various people and groups who need to be involved in participatory planning in different ways. The clear and mutual understanding of roles and responsibilities is a prerequisite to a productive process within and between groups, and helps participants to understand and anticipate their own commitments of time, energy, expertise, and other resources.

The source of this information is ***THE EXECUTIVE GUIDE TO STRATEGIC PLANNING***, by Patrick J. Below, George L. Morrisey, and Betty L. Acomb, which was published in 1990 by Jossey-Bass Publishers, 350 Sansome Street, San Francisco, California 94104.

ROLES, COMMITMENTS, AND RESPONSIBILITIES FOR STRATEGIC PLANNING AND PLANNED CHANGE

SUCCESS IN STRATEGIC PLANNING AND IN BRINGING ABOUT CHANGE rests on the commitment of people across the organization or community. According to Below, Morrisey, and Acomb (1990), the following types of commitments are necessary:

* A VISIBLE COMMITMENT FROM ABOVE. Senior administrators must demonstrate a willingness to invest the time necessary for effective planning and for regular review of results. They must be actively involved in posing questions on long-term directions and short-term outcomes. Leadership from the top is the key to success.

* CLEAR AND REALISTIC EXPECTATIONS (including provision for changing circumstances). It is imperative that senior administrators set challenging expectations that will move the organization (or community) in an appropriate direction. These expectations should be not only challenging, but also have the probability that they can be achieved.

* COACHING/TRAINING IN THE PLANNING PROCESS METHODOLOGY. Everyone involved needs to have a clear and mutual understanding of the terminology and methodology to be used in the process. Although strategic planning skills are best learned through actual application during planning sessions, they can also be strengthened through coaching or training.

* TOP PRIORITY ATTENTION is necessary during "high concentration" periods. "Strategic planning requires concentrated thought. If managers are expected to put significant effort into determining where the organization is going, then some provision must be made for shifting other responsibilities during that period" (p. 21).

* MINIMIZATION OF PAPERWORK. Although some paperwork will be necessary, it can and should be controlled. (Careful attention to the preparation of stimulus instruments for use by participants can result in a minimum of paper outcomes but valuable outcomes for planning.)

* CLARIFICATION OF ROLES. "Strategic planning is a team process, and each team member plays a specific role. When those roles are clearly defined and team members understand what is expected of others, as well as themselves, commitment is likely to follow" (p. 21).

KEY ROLES OF THE PLANNING TEAM

The key roles described by Below, Morrisey, and Acomb (1990) have been transposed into functions that respond to the Comprehensive System of Personnel Development (CSPD), as follows:

* THE TOP ADMINISTRATOR (State Director of Special Education, State Superintendent of Public Instruction) should be "perceived as the person providing direct and active leadership to the strategic plan" (p. 21). The top administrator's responsibilities include approval of, and often direct involvement in, many aspects of the process. Above all, the top administrator "has to provide the visibility and leadership in making sure the strategic plan is developed and implemented" (p. 22).

* THE CHIEF OPERATING OFFICER MAY BE THE STATE'S CSPD COORDINATOR. This person is a member of the planning team but is also responsible to the top administrator for the creation, implementation, and achievement of the plan, and for its validity and accuracy.

* THE SENIOR EXECUTIVE TEAM MAY BE THE STATE'S CSPD ADVISORY COMMITTEE. Members primarily represent the total organization or community, and secondarily represent their particular organizational units. These stakeholders "participate in many, if not all, of the planning activities identified for the Chief Operating Officer. However, it is important that ground rules be established to ensure that the members of the executive team, at that point, are wearing their 'total organization' hats, not those of the specific functions they represent" (pp. 22-23).

* THE BOARD OF DIRECTORS MAY BE THE STATE'S SPECIAL EDUCATION ADVISORY COMMITTEE, or an ad hoc group whose membership includes additional stakeholders, opinion leaders, consumers, and others. "Board members, individually or as a group, may offer advice and counsel on key strategic issues, but their involvement in the strategic plan is limited to the establishment of broad guidelines in terms of organizational direction and financial projections" (p. 23).

* THE PLANNING COORDINATOR is "someone designated within the organization to make sure the strategic plan comes together. Frequently, it is a member of the Executive Team. . . . (This role) needs to be filled by someone with good administrative skills who wants the job. Normally, . . . the Coordinator does not have approval authority but may perform any or all of the following duties: establishing and monitoring the planning schedule; coordinating and handling logistics of planning meetings; documenting and distributing meeting records" (p. 23).

* THE COACH/FACILITATOR "ensures an organized and participative planning process. In order for the planning process to be productive, this person would be someone who does not have a vested interest in the outcome" (p. 23) and who can guide discussion with a neutral attitude. The Coach/Facilitator may perform any or all of the following duties: helping to design the process; coaching/counseling in the methodologies of the process; designing meeting plans; facilitating meetings and discussions; summarizing the outcomes of meetings; documenting the development of the plan.

* AN INTERNAL PLANNING STAFF, if there is one, gathers information and performs preliminary analyses that are needed by the participants in the planning process. Much of the needed information and analysis may be available from existing activities within the organization. Other aspects of this work may be undertaken by the staffs of team members or other participants.

REFERENCE

Below, P. J., Morrisey, G. L., & Acomb, B. L. (1990). ***THE EXECUTIVE GUIDE TO STRATEGIC PLANNING***. San Francisco, CA: Jossey-Bass Publishers. (Contact Jossey-Bass Publishers, 350 Sansome Street, San Francisco, California 94104.)

GROUND RULES FOR PARTICIPATORY PLANNING

* TWENTY OPERATING PRINCIPLES

DEVELOPED BY
PARTICIPANTS IN A STATEWIDE CHANGE PROCESS
IN CALIFORNIA

The California statewide systems change process of the mid-1980s was facilitated by Tom Justice, a consultant, and Karl Murray, formerly Assistant to the Director of Special Education, California Department of Education. Further information on this process may be obtained from:

Tom Justice, 419 North 9th Street, Santa Paula, California 93060; 805/963-4331.

Karl Murray, Director, National CSPD Collaboration Institute, The Council for Exceptional Children, 1920 Association Drive, Reston, Virginia 22091; 703/620-3660.

SOME GROUND RULES FOR PARTICIPATORY PLANNING

It is important to remember that the plan is not the only outcome, or necessarily the most important outcome, of the planning process. Morrison, Renfro, and Boucher (1984, p. 95) point out that "the planning process is an ongoing, continuously changing, organic activity" that develops infinitely. Thus, the means become an end, or a new way of thinking and acting to shape the future of the organization.

As participants engage meaningfully in a planning process, they can develop more inclusive viewpoints, alter their ways of thinking and responding to problems and problem-solving, and adopt new approaches to their own work that support the mission of the larger organization or community. Participatory planning can be transformational. It should be viewed as a major opportunity to bring about change.

In the mid-1980s, the California Department of Education's Special Education Division sponsored a statewide CSPD systems change effort on a large scale, involving a variety of stakeholders in planning, design, and implementation teams. One of these interprofessional teams drew up a set of principles under which its members agreed to operate as they engaged in "visioning" and generating options for achieving the organization's mission.

These Operating Principles for Participatory Planning (Justice, 1988, p. 10) are shared on the attached pages. Other planning groups may find these principles useful in setting ground rules for participation, or may wish to use them as a basis for developing their own operating principles together.

OPERATING PRINCIPLES FOR PARTICIPATORY PLANNING

1. Members of the team have parallel roles and participate as equal members of the team, regardless of their role or institutional affiliation.

2. Communication regarding the activities of the team is open, rather than confidential. The group is committed to consciously and deliberately communicating its activities to all persons who have an interest in the workings of the group.

3. A healthy respect is maintained for the complexity of the task, but we will not be overawed by this awareness.

4. The group welcomes a divergence of ideas and inputs from all sectors of interest in its work, no matter how dissimilar such thinking might be to individual members of the group.

5. The group will play to the strengths of its individual members and put up with the things about each other that annoy us.

6. We will look hard for meaningful data in our environment, facing it directly regardless of how uncomfortable it may be. We will use the data to improve the quality of our work.

7. When we are in the process of generating new organizational possibilities or designs, each individual is willing and able to temporarily hold in suspense his or her own personal sacred cows, positions, assumptions, beliefs, and past decisions of how things ought to be so that the group can truly invent new, previously unimagined possibilities.

8. We will create an atmosphere of attention to one another by full and genuine listening, listening as advocates for each other's point previous to formulating any response.

9. We are all responsible for the monitoring of the progress of the group and, when the group is not producing, speaking up and seeing to it that something different is done. On the other hand, we will hold off on judging the effectiveness of any particular group process until it is completed. But if any process yields incomplete results, we will do whatever is needed to produce the needed action.

10. We encourage help from others and we are open to and welcome participation from anyone who holds an interest in our mission. Our structures will be flexible enough to include participation of non-team members in meetings and subgroups when appropriate.

11. We are in the business of nurturing and growing good ideas and, when necessary, protecting such ideas from premature assessment or judgment.

12. We pay attention to, read and watch the feelings of ourselves, our group, and our environment as much as we listen for what was said.

13. We will be as practical as we are visionary, always eventually submitting even our fondest notions to copious and exacting tests of feasibility.

14. We accept responsibility for the management of the relationships and the communications that will be necessary to implement the plans we create.

15. We are here to learn and create an environment of learning new skills, attitudes, and techniques. Yet we will be careful that this atmosphere not divert us from our primary mission.

16. We will not let our own personal considerations related to our jobs (or lack of) jeopardize the integrity of the mission of the group.

17. Each of us is personally responsible for understanding and being clear about every move in progress by the group, knowing the group can only move as fast as its slowest member.

18. We stubbornly reject the notion that the personal and systemic boundaries and barriers that we confront are insurmountable. We recognize these as lines to be read and mapped, pathways to be either traversed or avoided, not as limitations or reasons not to do a job.

19. We will create room for humor, joy and celebration in the conduct of our business.

20. We won't forget the reasons why we first came to work in this special form of enterprise and why we're still here. We will keep constantly in mind who we are working for in this group -- children, families, and dedicated professionals, not our bosses or peers we are normally prone to please.

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PARALLEL ARCHITECTURE

* COLLATERAL WORK GROUPS

* TWO KINDS OF PROBLEMS AND OPPORTUNITIES

* DIAGONAL SLICE GROUPS

Parallel Architecture is an approach to change that uses collateral work groups to preserve the status quo while creating alternatives to it. The following pages summarize this strategy, define the types of problems and opportunities for which it is appropriate, and briefly explain the diagonal slice across functions that may be desirable for creating collateral work groups.

Although Parallel Architecture may be at work in various forms of participatory planning, this material may help to compare this approach, which is aimed at task-oriented process and impact outcomes, with more traditional approaches that emphasize consensus or compromise.

PARALLEL ARCHITECTURE

ONE STRATEGY FOR FACILITATING CHANGE is called Parallel Architecture, which refers to a group process that is created alongside the formal structures of an organization. Parallel Architecture occurs through forming temporary ad hoc problem-solving groups for single short-term purposes. Using a collateral work group that is within the system but not of it preserves the status quo while creating alternatives to it.

EARLY EXAMPLES of Parallel Architecture were the Quality Circles used in the automotive industry to solve assembly line problems and improve productivity (Justice, 1988). Participants from different levels of the industry formed a new group apart from their own hierarchies, in order to examine problems in new ways, from different vantage points, and beyond the usual cultural, organizational, and bureaucratic constraints.

Parallel Architecture yields both product and process outcomes. Solutions and recommendations to management represent one outcome. But, because the process involves people who must implement the changes or otherwise be affected by them, the attitudes and readiness of these individuals can be affected markedly by their participation. Success with Parallel Architecture depends on:

* Genuinely relying on the collateral group for solutions (rather than seeking consensus on a preconceived approach or reaching a watered-down compromise);

* Involving participants who are directly affected by the problem and/or possible solutions; and

* Assigning appropriate problems or opportunities to the collateral group.

TWO KINDS OF PROBLEMS AND OPPORTUNITIES

Challenges within organizations can generally be classified as well-structured or relatively unstructured, as defined by Blake and Mouton (1989):

1. WELL-STRUCTURED problems or opportunities are suited to solutions through organized routines, close supervision, procedures. These issues call for authority. (For example, if a school district does not have enough qualified teachers to fill vacancies when school begins, the immediate problem might be solved through the issuance of a waiver allowing assignment of alternative personnel to these positions. As another example, if new regulations are issued, training sessions and the distribution of directives might provide the opportunity for incorporating them into schools' procedures.)

2. UNSTRUCTURED problems or opportunities are difficult to define, delimit, and address under established procedures and tight supervision. These challenges require conceptual liberation, more than a hierarchical perspective, and give-and-take. (A shortage of personnel presents an ill-structured situation because it is affected by so many variables, requires many strategies working in unison to bring about change, and has an impact across people and practice across many educational communities).

Parallel Architecture's collateral groups should be organized to deal with unstructured problems and opportunities. Participants are likely to need some degree of consultation or facilitation in order to set aside hierarchically-based relationships and attitudes so as to engage in mutual, creative problem-solving. When the problems cease to exist, opportunities are defined and taken, or solutions become part of the hierarchy, then the collateral group dissolves (Blake & Mouton, 1989).

DIAGONAL SLICE GROUPS

An organization chart generally shows a configuration that is both vertical and horizontal. Therefore, it takes diagonal lines across the chart in order to touch all parts of the organization. A Diagonal Slice group is composed of people from these various organizational levels, segments, roles, and operations.

In business and industry, a Diagonal Slice group might be formed by including members from top management, middle management, marketing, production, research and development, accounting, distribution, public relations, clerical, and other functions. In a larger context (such as the education community), a Diagonal Slice group might be composed of persons from public schools, higher education, related services, parent organizations, teachers' unions, school boards, and so forth.

The Diagonal Slice is useful for collateral groups that operate parallel to the organization from which the slice was drawn. It allows for involvement from managers, planners, deciders, implementers, consumers, and others who must create some change within their own views or functions in order that a change may occur in the organization. With facilitation, individual participants can recognize the one-sidedness of the viewpoints of the single function they represent, and can subsequently become more concerned with solutions for the common good and with integration of the solution across parts of the system or organization.

Although the number of immediate participants in a collateral group will be limited, it is possible for these participants to form other collateral groups in their home work settings, and thereby incorporate many other stakeholders, consumers, and opinion leaders in the process.

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STRATEGIC THINKING FOR THE CSPD: ASKING THE RIGHT QUESTIONS ALL THE TIME

* OVERVIEW

* GROUP LEARNING APPLICATIONS

* STIMULUS PAPER AND MATRIX

This material summarizes a ten-step method for orienting a group to strategic thinking. The steps are organized according to the critical phases of: analysis, mission, action, and support. A matrix for group use, and suggested questions for stimulating group activity, are included.

The developer of this approach may be contacted as follows:

Vance Engleman, Options International, 304 Peebles Street, Suite 3, Sewickley, Pennsylvania 15143; 412/741-0258.

STRATEGIC THINKING FOR THE CSPD:

ASKING THE RIGHT QUESTIONS ALL THE TIME

Engleman (1990) has developed a ten-step method for thinking strategically, which he has also adapted to the Comprehensive System of Personnel Development. The critical phases of this model are as follows, and several steps are outlined for each of these phases:

* ANALYSIS
* MISSION
* ACTION
* SUPPORT

The phases and steps are displayed in the attached matrix, along with Engleman's (1988) overview of "What Makes Strategic Planning Strategic."

GROUP LEARNING APPLICATIONS OF THE MATRIX

The attached matrix may be used in a group activity to introduce personnel to Engleman's concepts of strategic thinking and planning. The following process steps are suggested for a group exercise (Engleman, 1990):

1. A group facilitator guides the group members in using the matrix for specified purposes. A recorder writes down the group's ideas. A third person gives an oral report of the group's thinking.

2. Five minutes are allotted to allow members of the group to read the stimulus paper called "What Makes Strategic Planning Strategic?" (attached).

3. Each group is assigned a specific strategic step from the matrix as its topic of discussion.

4. Each group brainstorms its assigned topic and discusses the leadership role/style that would be necessary to make the assigned strategic step come alive within the context of the CSPD.

THE FOLLOWING SAMPLE QUESTIONS are designed to stimulate the groups' thinking:

- What results/outcomes are desired?
- What values are critical?
- What resources would you tap?
- Who else would you engage?
- How comprehensive or global should the plan be? How specific? How futuristic?
- What decisions are needed? By whom?
- What methods should be used to bring about change?
- How time-efficient and cost-effective are the possible options?
- How politically sensitive are the options that are proposed?
- Is consensus required?
- Are consumer needs reflected?
- What partnerships are needed?
- What additional questions should be asked to clarify directions?

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Engleman, V. (1990, August 2). *STRATEGIC THINKING.* Presentation at the CSPD Forum sponsored by the Western Regional Resource Center, Phoenix, AZ, August 1-2, 1990.

VIEWPOINT

"What Makes Strategic Planning Strategic?"

Vance Engleman, Director of *Options International*

Strategic planning is not a static activity within an organization; it is a dynamic never ending process. At least ten major steps are essential to this approach. Every employee is engaged somewhere in this process all of the time. In this context, strategic planning is a **life method**! The "Achilles heel" in leadership and organizational maneuvering is that we get stuck in some of the steps, only dabble in some steps, and completely bypass other steps.

Strategic planning is built on the premise that to be genuinely strategic and comprehensive, a tension must be maintained constantly among all the critical phases: **Analysis** (four steps); **Mission** (two steps); **Action** (two steps); and **Support** (two steps). Each of the ten steps is a universe by itself involving a wide range of different methods and approaches.

The matrix below has been designed over a twenty year period of research, study, and practical application. Steps 9 and 10 permeate all the other steps (1 - 8) and should not be viewed as a "tack-on" at the end of the process. In fact, all ten steps play a certain interactive role with each other.

STRATEGIC PLANNING: COMPREHENSIVE TEN STEP METHOD		
ANALYSIS	Step 1	**EMERGING TRENDS:** Dominant/opposing trends; innovations; change
	Step 2	**NEEDS ASSESSMENT:** Client centered; services oriented; internal/external
	Step 3	**FUTURE VISION:** Hopes; dreams; winner's circle
	Step 4	**UNDERLYING OBSTACLES:** Blocks; deterrents; irritants; problem behind problem
MISSION	Step 5	**ACHIEVABLE GOALS:** New corporate story; holding image; realistic
	Step 6	**STRATEGIC DIRECTIONS:** Activities; arenas; measurable objectives
ACTION	Step 7	**TACTICAL STEPS:** Events; very specific; assignments (the what)
	Step 8	**IMPLEMENTARY STEPS:** Who; how; where; when; cost
SUPPORT	Step 9	**CONSTANT EVALUATION:** Impact study; monitoring; fiscal accountability
	Step 10	**MANAGEMENT / LEADERSHIP TEAM:** Policy; training; funding; motivation; team building

It is not surprising that an organization tends to take on the personality of its leaders by reflecting their various attitudes and behaviors. If key management personnel feel a certain bias toward certain planning arenas, say the operational phase of goals, strategies, and action plans, then the whole organization must endure the consequences resulting from lack of analysis and support (Steps 1-4, 9-10) for the best designed plans. Often key decision makers simply gravitate toward steps where they have the most experience or feel the most comfortable. It is not unusual to hear leaders confess, "I simply hate spending time gathering data or conducting evaluations. I would rather get on with it!" Excellence is increasingly being defined as the ability to be comprehensive in all aspects of planning and implementation. That means saying "no" to short cuts or quick fixes to organizational challenges.

If your organization has a commitment to this approach at some cognitive level, but feels sluggish in making it really work, examine the facilitating skills of your leadership. The facilitator role, more than any other, can put the strategic back into planning.

The crucial question to ask is, "Could you have a strategic plan if *one of these steps were excluded*?" I submit that **you can not**!

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CLARIFYING AN ORGANIZATION'S MISSION

* THE MISSION STATEMENT

* LIST OF QUESTIONS FOR CLARIFYING THE MISSION

The mission is the basis for strategic planning and the prerequisite for strategic analysis -- or scanning the internal and external environment for trends likely to influence the organization. This summary focuses on thirteen questions that may be used by planners in developing a mission statement. The answers to these questions will raise important issues for discussion, resolution, and agreement.

This material is adapted with permission from the publishers from a 1990 book by Patrick J. Below, George L. Morrisey, and Betty L. Acomb, entitled *THE EXECUTIVE GUIDE TO STRATEGIC PLANNING*, published by Jossey-Bass. The complete volume is recommended for more complete information on developing the mission statement and on other aspects of strategic planning. It may be ordered from:

Jossey-Bass Publishers, 350 Sansome Street, San Francisco, California 94104. Customer service number: 415/433-1767

CLARIFYING AN ORGANIZATION'S MISSION

As the foundation for all other decision-making, the organization's mission statement requires careful thought and preparation by the planning team, and for refining the various viewpoints that will be expressed as it develops. The mission statement is the antecedent to strategic analysis, or the examination of the internal and external environments for factors that may be expected to influence the future of the organization (Below, Morrisey, & Acomb, 1990).

The following questions may be used by the planning team to clarify the organization's mission. These have been adapted from Below, Morrisey, and Acomb (1990, pp. 38-39) to respond to an educational context.

QUESTIONS TO BE ANSWERED TO CLARIFY THE ORGANIZATION'S MISSION

1. What business should we be in?

2. Why do we exist (what is our basic purpose)?

3. What is unique or distinctive about our organization?

4. Who are our principal consumers, clients, or users?

5. What are our principal products and services -- present and future?

6. What are our principal market segments (populations) -- present and future?

7. What our our principal outlets/distribution channels for our products and services -- present and future?

8. What are our principal communication channels -- present and future?

9. What is different about our business from what it was between three to five years ago?

10. What is likely to be different about our business three to five years in the future?

11. What are our principal economic concerns, and how are they measured?

12. What philosophical issues are important to our organization's future?

13. What special considerations do we have in regard to the following stakeholders?

    * Students
    * Parents
    * Federal government
    * State government
    * State legislature
    * Local school districts
    * Higher education
    * Teachers
    * Others (add new items to this list to match your stakeholder groups)

REFERENCE

Below, P. J., Morrisey, G. L., & Acomb, B. L. (1990). ***THE EXECUTIVE GUIDE TO STRATEGIC PLANNING***. San Francisco, CA: Jossey-Bass Publishers, pp 20-24.

This book may be ordered from: Jossey-Bass Publishers, 350 Sansome Street, San Francisco, California 94104. Customer service number: 415/433-1767.

SCANNING THE ENVIRONMENTS

* SETTING UP A STRATEGIC INFORMATION SCANNING SYSTEM

* DEVELOPING A SCANNING TAXONOMY

* ENVIRONMENTS TO SCAN

* A VISUAL OF THE POSSIBLE ENVIRONMENTS

Here are some ideas for involving stakeholders and other participants in continuously scanning the environment for information on trends that may influence the organization's future.

Also included are suggestions on ways to classify information from the environment that appears relevant to the organization (a scanning taxonomy). The listing of possible environments to be scanned includes the environment that surrounds personnel supply and demand.

All of these examples may be adjusted to respond to the specific context of the educational organization or community. Information to be retrieved from various environments will reveal threats, opportunities, strengths, and/or weaknesses to be addressed by strategic planning.

SCANNING THE ENVIRONMENTS

All organizations have a vital need to: (a) track what is occurring or developing in their environments that will influence their future, and (b) evaluate and process this information for use in planning (Pfeiffer, Goodstein, & Nolan, 1989). Aaker (1983) has recommended a simple Strategic Information Scanning System that can be established and continually updated, as follows:

SETTING UP A STRATEGIC INFORMATION SCANNING SYSTEM

* NEEDS: Identify the organization's strategic information needs as they develop.

* SOURCES: Identify information sources that respond to needs that emerge.

  - For example: newspapers, magazines, journals, electronic information services, databases, newsletters, conferences and conference programs, clearinghouses, reports, surveys, incidence figures, needs assessments, education statistics, and so on.

* SCANNERS: Identify those who will participate in environmental scanning and assign scanning tasks.

  - Scanning roles may be assigned to many participants, planners, stakeholders, constituents, and consumers.

* ACCESS: Devise a system for storing and disseminating the information.

DEVELOPING A SCANNING TAXONOMY

Although commercial enterprises and federal agencies may use more than 200 categories in their scanning systems, a simple four-part taxonomy has been suggested by Bryson (1988); Morrison, Renfro, and Boucher (1984); and Pfeiffer, Goodstein, and Nolan (1989) as a basic starting point:

1. POLITICAL TRENDS, such as:

* The changing composition or milieu of governmental bodies, particularly at state and federal levels.
* Legislative changes.
* Government regulation or deregulation.
* Rulings and interpretations of laws or regulations.
* Lobbying of special-interest groups.

2. ECONOMIC TRENDS, such as:

   * Developments in the national or regional economy.
   * Projections of economic health, inflation rates, money supply.
   * Status of federal and state budgets and allocation priorities.
   * Employment/unemployment rates.
   * Salary levels in education and completing fields.

3. SOCIAL TRENDS, such as:

   * Changing demographics and resulting population momentum.
   * Age cohorts, birth rates, projected population fluctuations.
   * State, regional, national manpower needs.
   * Changing values and their impact on children and families.
   * Factors that influence job preferences, consumer decisions, and educational choices.

4. TECHNOLOGICAL TRENDS, such as:

   * Changing technologies that can affect the work force.
   * Technological developments that can influence instruction.
   * Changes in information retrieval, storage, and distribution.
   * Automation in the workplace.
   * Adaptive/assistive technologies that help compensate for disabilities.

ENVIRONMENTS TO SCAN

Pfeiffer, Goodstein, and Nolan (1989) have described multiple environments of concern to business and industry, and these have been transposed below to suggest potential environments of concern to educational organizations and communities:

* THE MACRO ENVIRONMENT. The political, economic, social, and technological trends that influence the larger society, national or state policy.

* THE EDUCATION INDUSTRY ENVIRONMENT. Trends in the structure and financing of education; outcomes produced by, or required of, education; philosophy, methodologies, practice, etc.

* THE PERSONNEL SUPPLY/DEMAND ENVIRONMENT. Changes in variables that influence supply/demand; trends in certification, personnel preparation, policy; school organization and instructional patterns, etc.

* THE CONSUMER ENVIRONMENT. Concerns, compliments, needs, and attitudes of parents, students, the public.

* THE INTERNAL ORGANIZATION ENVIRONMENT. Climate and culture; competencies; capacity; shifts in leadership; trends in structure; resources; lessons to be learned from the organization's history, etc.

Each larger environment impinges on succeeding smaller ones. Tracking important factors in these environments and understanding how changes in any of them can influence the organization over time, represent the essence of environmental scanning (Pfeiffer, Goodstein, & Nolan, 1989).

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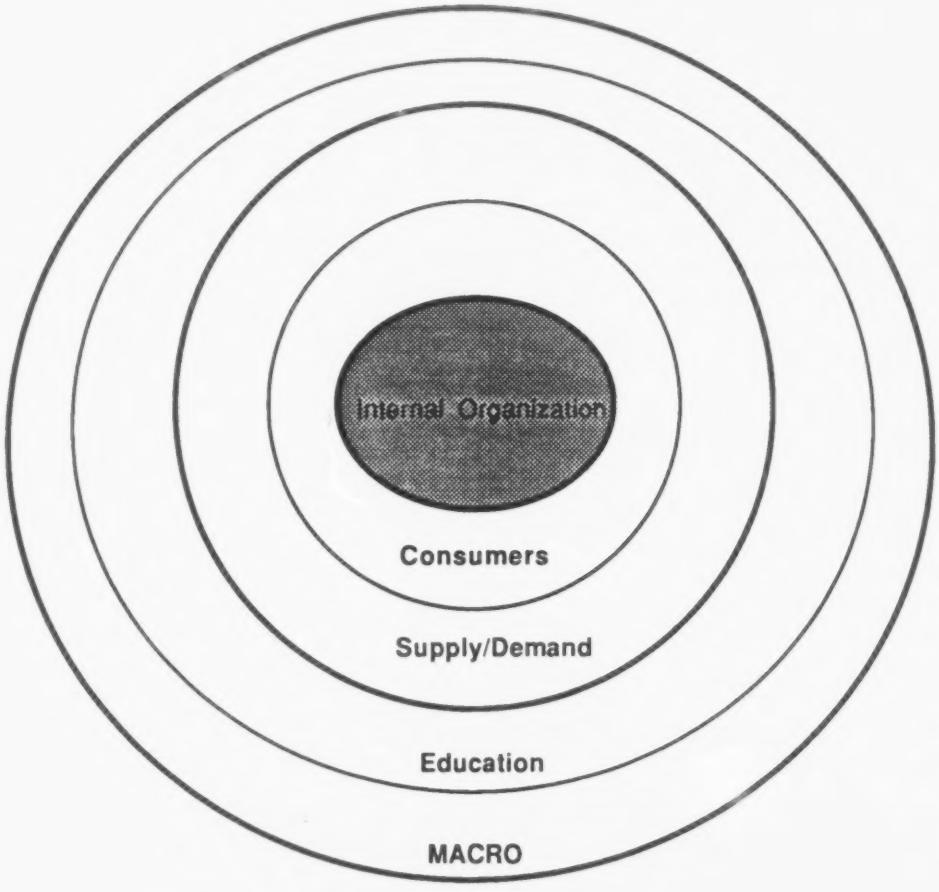
VISUALIZING ENVIRONMENTS TO BE SCANNED



TREND ANALYSIS

* OVERVIEW: TREND ANALYSIS FOR SCANNING THE ENVIRONMENT

* TREND ANALYSIS WORKSHEET

Trend analysis is a way of organizing and interpreting the findings that result from scanning the environment to identify forces that affect the organization. This summary briefly explains trend analysis and offers a worksheet for use in analyzing trends in the environment.

The developer of these materials may be contacted as follows:

Vance Engleman, Options International, 304 Peebles Street, Suite 3, Sewickley, Pennsylvania 15143; 412/741-0258.

TREND ANALYSIS

Strategic planners use external scanning to identify forces in the environment that affect the system or organization, examine these trends for long and short term impact, and analyze options and alternatives for responding to trends. Engleman (1987) has designed the attached Trend Analysis Worksheet for group or individual planning. This worksheet allows participants to consider political, economic, and other focal issues in terms of variables that influence the potential for change, as follows:

* CURRENT DOMINANT TRENDS

  - Forces of continuity which tend to maintain current practices or approaches.
  - Influences which reinforce the status quo (continuity).

* CURRENT OPPOSING TRENDS

  - Signs of discontinuity; signals that old patterns are breaking down.
  - Signs of resistance to change in the environment.
  - New models, discoveries, innovations that challenge the status quo.

* EMERGING CHANGE PATTERNS

  - Key change patterns that result from conflict between dominant trends and opposing trends.
  - Leading edge change patterns, representing influences which are forcing changes in current approaches.

THE WORKSHEET is a tool for contemplating trends, forces, and patterns in order to make rational judgments about responses. The outcome should enable a forecast such as:

1. The present dominant trend will continue.
2. The dominant trend will be overwhelmed by an opposing trend.
3. A completely new direction is developing.

REFERENCE

Engleman, V. (1987). ***TREND ANALYSIS WORKSHEET***. Sewickley, PA: Options International.

TREND ANALYSIS WORKSHEET

FOCUS ISSUE (political, economic, social, technological, or other)

CURRENT DOMINANT TRENDS • Forces of Continuity • Influences which maintain continuity	CONTINUITY	INFLUENCES

CURRENT OPPOSING TRENDS • Signs of Discontinuity (old patterns breaking down) • Signs of Resistance to change • Challenging Innovations (discoveries / models)	DISCONTINUITY	RESISTANCE	INNOVATIONS

EMERGING KEY CHANGE PATTERNS • Resulting from conflict between Dominant and Opposing trends • Leading edge trend identified	KEY CHANGE PATTERNS	LEADING EDGE PATTERNS

THREE OPTIONS • Present dominant trend continues • Dominant trend overwhelmed by opposing trend • A completely new direction (Select appropriate option)	

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ACTION RESEARCH

* A SEVEN-STEP SUMMARY OF ACTION RESEARCH

Action research involves the gathering and use of data to clarify and solve practical problems. This is a facilitated process in which an outside person conducts interviews and/or administers questionnaires, and subsequently assists participants in reviewing, discussing, and acting on the findings.

This method, and other catalytic interventions for bringing about change, is contained in:

Blake, R. R., & Mouton, J. S. (1989). ***CONSULTATION: A HANDBOOK FOR INDIVIDUAL AND ORGANIZATION DEVELOPMENT (Fifth Edition)***. Reading, MA: Addison-Wesley Publishing Company.

ACTION RESEARCH

Action research is essentially a method of gathering empirical data for problem -solving and action planning. It is useful when differences, conflicts, or barriers exist within an organization, but are not surfacing in ways that would lead to their solution. This approach requires an outside facilitator or consultant who is not involved in the issues to be explored, and who can guarantee confidentiality to participants.

The following brief outline of the steps involved in action research is set forth in Blake and Mouton (1989, pp. 304-305).

STEPS IN ACTION RESEARCH:

1. DIAGNOSIS. The organization manager and consultant discuss the problem and reach agreement on the areas of concern.

2. DESIGN OF INSTRUMENTS. After the initial problem definition is agreed on, the consultant uses this information to design interview questions and/or a survey questionnaire.

3. INFORMATION GATHERING. The consultant conducts individual confidential interviews with organization members, and may also administer questionnaires.

4. ANALYSIS. The consultant analyzes the results of information gathering and organizes the findings.

5. FEEDBACK. Feedback meetings are held for participants and managers, usually in the form of group development sessions. The consultant summarizes common problems that have been identified and facilitates the session.

6. ACTION PLANNING. The discussion of findings leads to plans for solutions. Team building for implementing solutions may also be undertaken in this phase.

7. REPEATED CYCLES of action research occur as teams continue to work on the problem.

REFERENCE

Blake, R. R. & Mouton, J. W. (1989). ***CONSULTATION: A HANDBOOK FOR INDIVIDUAL AND ORGANIZATION DEVELOPMENT (Fifth Edition).*** Reading, MA: Addison-Wesley Publishing Company.

DEFINING AND MODIFYING THE CULTURES OF CONSTITUENT GROUPS

* OVERVIEW

* EXAMINING NORMS, STANDARDS, AND VALUES WITHIN CULTURES

* WORKSHEET: WHAT IS REWARDED AND WHAT IS PUNISHED?

The culture prevailing within an organization or community is a crucial determinant of the group's attitude toward and readiness to participate in change. Norms and standards that develop within the culture become the basis for self-regulation, judgments about what is important or unimportant, decisions as to what can be done and how things are done.

This summary reviews the nature of the group culture and shows how cultural factors may interfere with cooperation and change. Because group members are often unaware of the considerable impact of cultural variables on their own thinking, it is often useful to help people to think about and discover these influences. Therefore, this section includes some guidelines for accomplishing this type of exploration.

DEFINING AND MODIFYING THE CULTURES OF CONSTITUENT GROUPS

Norms and standards are shared expectations about attitudes, beliefs, values, and behaviors to which people aspire or to which they are expected to conform. In any community of individuals, norms and standards become the basis for self-regulation. Adherence tends to be rewarded, and violations tend to be punished. The socialization of teachers into the school setting is actually their acculturation to the prevailing norms, standards, and values. The cultures of various communities within the system (such as higher education, public schools, state offices, parent groups) will vary according to their own values and norms (Blake & Mouton, 1989).

Norms, standards, and values clarify what will be accepted or rejected by individuals within a group. They underlie the ways that people think and feel, what they regard as important, and what they disregard as trivial. These values can operate so subtly that people within a group may not be altogether conscious of their heavy influence on their own actions (Blake & Mouton, 1989).

PROBLEMS ARISE WHEN:

* There is a discrepancy between ideal values and the actual values within a group (resulting in "lip service").

* People who must work together hold different values, and the failure to achieve overt agreements results in antagonisms and disorder.

* Disagreements or regression arise over surface problems that camouflage divergent norms, standards, and values within groups or among groups.

* The prevailing norms and standards have created a self-defeating cycle of behaviors within a group or among groups.

* Cultural norms and standards are the forces that hold members of a group in a nonproductive status quo position.

In any of these cases, improvements in effectiveness or the capacity to create change may require that norms and standards be surfaced and examined by members of the relevant community or communities.

DETERMINING THE NORMS AND STANDARDS OF A CULTURE

In order to modify a culture, it is first necessary to understand it through an examination of its norms, standards, and values -- which can be determined by the answers to two simple questions: WHAT IS REWARDED? and WHAT IS PUNISHED? The examination of these questions and what they yield is useful for several purposes (Blake & Mouton, 1989):

* INTER-GROUP. When people from several groups (e.g., higher education, state, and district personnel) must collaborate, individuals in one group may make assumptions (based on their own culture) about attitudes and motivations of the other groups. For example, district personnel may not understand why higher education people do not deliver locally based training until they recognize the reward/punishment system that may be operating in colleges and universities. Without such understandings, group members may focus on EFFECTS, rather than ROOT CAUSES of the problems that concern them.

* WITHIN-GROUP. A given culture may exhibit norms, standards, and values that will create resistance and make change difficult. Therefore, the first change that must occur is a change in what is rewarded and what is punished. A reorientation of the reward/punishment system in the culture will bring about a change in attitudes and behaviors.

The next page presents the framework of an instrument that may be used to examine the factors that define an organizational culture.

REFERENCE

Blake, R., & Mouton, J. S. (1989). ***CONSULTATION: A HANDBOOK FOR INDIVIDUAL AND ORGANIZATION DEVELOPMENT (Fifth Edition).*** Reading, MA: Addison-Wesley Publishing Company.

WORKSHEET:
WHAT IS REWARDED AND WHAT IS PUNISHED

COMMUNITIES/CULTURES	WHAT IS REWARDED?	WHAT IS PUNISHED?
State education agency	•	•
Local education agencies	•	•
Higher education	•	•
Teachers/schools	•	•
Principals	•	•
School boards	•	•
Superintendents	•	•
Parents	•	•
Unions	•	•
Other	•	•

LOOSELY COUPLED SYSTEMS: ADVANTAGES, DISADVANTAGES, AND FALSE ANTIDOTES

* OVERVIEW

* CHARACTERISTICS OF LOOSE COUPLING

* HYPER-RATIONALIZATION: THE FALSE ANTIDOTE

* A REALITY CHECK ON MANAGING CHANGE IN ORGANIZATIONS WHOSE PARTS ARE LOOSELY COUPLED

Although the parts of the education system are connected by administrative authority, rules, regulations and procedures, and by communication, certain shared cultural values, physical linkage, and a similarity in how units look -- the parts of the system are not very interdependent nor strongly connected. This characteristic is referred to as "loose coupling."

Loose coupling has advantages and disadvantages for education and for the planning of change. Some of these positives and negatives are described in this paper, which also reviews a frequently used but unproductive approach to bringing about change in loosely coupled systems. A checklist at the end is intended for evaluating whether planned change efforts include the considerations that are necessary when a loosely coupled organization is involved.

LOOSELY COUPLED SYSTEMS: ADVANTAGES, DISADVANTAGES, AND FALSE ANTIDOTES

Education's communities are loosely coupled organizations that are connected weakly or infrequently or slowly, without much interdependence. This feature of education is both positive and negative. On the one hand, loose coupling protects the organization from having to respond to every fleeting need that may emerge. On the other hand, it can interfere with schoolwide or systemwide change when it is necessary.

The parts of the system may be loosely connected vertically, horizontally, and with the environment (in terms of acquiring and using feedback) (Rubin, 1979):

* LOOSE HORIZONTAL LINKAGES occur when each group or community across the system has a high degree of functional and financial independence. Loose horizontal linkage can promote the kind of change that is accomplished by adding or subtracting units in a particular organization within the system, because the other parts of the system have no vested interest in this kind of change and will generally not resist it.

* A LOOSE VERTICAL HIERARCHY occurs when levels within the organization are relatively independent of each other. This kind of loose coupling has dual effects. It can inhibit changes delivered as mandates from the top, and it can hinder efforts to plan and coordinate responses to stresses from the environment.

* LOOSE FEEDBACK LOOPS WITH THE ENVIRONMENT can protect the organization from recognizing/responding to fleeting needs for short-term change. Loose connections with the environment can also interfere with understanding of important trends and prevent self-corrective behavior from occurring.

CHARACTERISTICS OF LOOSE COUPLING

Some of the characteristics of loose coupling (Weick, 1983, pp. 21-25), which should be recognized and used in the planning of educational change are:

Negative Charactistics of Loose Coupling

An understanding of these features of loose coupling may assist planners in adopting change strategies to which present school organization structures can respond best:

* Influence is slow to spread and/or is weak while spreading.

* There is a relative lack of coordination, slow coordination, or coordination that becomes dampened as it moves through the system.

* The viewer/manager has poor observational capabilities; it is hard to see the whole as the sum of the parts, or to distinguish the forest from the trees.

* There is decentralization among parts, units, communities within the system.

* Linkages are weak, and therefore feedback is weak.

* The organization's structure is not necessarily compatible with its activities.

* The system is not amenable to standardization across its units, groups, and communities.

* Despite all sorts of changes in curricula, materials, groupings and so forth, the outcomes of an educational situation are likely to remain the same.

* Loose coupling fosters perseverance, but it is not selective in what is perpetuated.

Positive Characteristics of Loose Coupling

These features of loose coupling suggest conditions that may be emphasized in order to bring about change in educational organizations:

* Loose coupling allows some parts of an organization to persist as usual while others may change. This lowers the probability that the organization as a whole will have to respond to each little change that occurs in the environment.

* Groups or units within the system can preserve their own "sensors" and may therefore "know" their own environments better than groups in tightly coupled systems which have fewer independent elements.

* Loose coupling can facilitate localized adaptation. Any one element can make a change in response to a unique local contingency, without support or agreement from the other groups or communities in the system. This can facilitate novel solutions in discrete parts of the system.

* If there is a breakdown in one part of the system, the breakdown can be sealed off without affecting the rest of the system.

* There is relatively high autonomy within the groups or communities that comprise the system.

HYPER-RATIONALIZATION

Hyper-rationalization (Wise, 1979) is the term that is used to describe:

* Excessive prescriptions as problem-solving strategies.
* Increasing procedural complexity as a means for managing change.
* Creating a program with the same name as the problem.
* Wishful thinking that change can be accomplished by decree.
* Inappropriate solutions that miss the mark.

Although hyper-rationalization has often been the method of choice, or perceived antidote, for dealing with loose coupling (Wise, 1979), this approach is a primary cause that leads to the effect that might be called "innovation without change."

A REALITY CHECK ON DEALING WITH LOOSE COUPLING

AN AFFIRMATIVE ANSWER to any of the following questions may mean that hyper-rationalization is in evidence in the plans for managing change in an organization whose parts are loosely coupled (Wise, 1979):

_____ Does the proposed plan of action introduce new procedures without altering old procedures?

_____ Does the plan prescribe without considering existing input and policy prescriptions?

_____ Does the plan imply that a structural problem can be solved by the education of the individual?

_____ Is the plan to be implemented without considering organizational and group dynamics?

_____ Are tentative research findings being used to defend the plan?

_____ Are solutions being proposed on the basis of superficial, incomplete, or incorrect analyses of the problem?

_____ Are unattainable or never-before attained goals being set?

_____ Are uniform solutions being proposed for non-uniform situations?

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ANTICIPATING INTENDED AND UNINTENDED CONSEQUENCES

* JELLO ANALYSIS

* THE VALIDITY OF ASSUMPTIONS

* JUGULAR VEIN DECISIONS

* IMPACT NETWORKS AND RELEVANCE TREES

* A CHECKLIST FOR LOOKING AT THE BIG PICTURE

* VISUALS: IMPACT NETWORKING

Actions taken to solve a problem in one corner of the educational system can create unintended and unanticipated problems in other parts of the system. Policies grounded in faulty assumptions will not have their intended outcomes and may have unintended consequences that are not desired. Many middle-level decisions about organizational functions also have ripple effects.

This paper offers several ways of viewing these sources of unintended outcomes. Attached are a checklist for evaluating options and alternatives in these terms, and visuals that may be used for anticipating the likely outcomes of options and alternatives that are being considered.

ANTICIPATING INTENDED AND UNINTENDED CONSEQUENCES

The educational system is composed of subsystems of technologies, politics, finances, information, policies, procedures, practices and people who have roles, beliefs, and ambitions, and who inhabit distinct organizational cultures. Yet decisions tend to be made at one level or in one domain without sufficient consideration of the consequences in other parts of the system. For example, few states or institutions are gathering the type of data necessary to determine the impact of quality improvement measures on the supply and quality of new personnel from higher education, and policy makers often fail to consider the impact of their actions on teacher supply and demand (Educational Testing Service, 1988).

Too often the right hand in the organization is not privy to what the left hand is doing, or actions are taken in the present without proper regard for the future. The outcomes can be contradictory and conflictful. This paper: (a) summarizes several aspects of this problem, (b) presents a visual representation of the "Jello Analysis," (c) presents a set questions that may stimulate consideration of potential impacts when options and alternatives are introduced, and (d) concludes with a visual display for considering impact relationships.

THE 'JELLO ANALYSIS'

Plans and policies intended to address one aspect of education tend to affect other aspects, with results that are not always anticipated. For this reason, strategic thinking requires we consider options and alternatives as if the system were a bowl of jello -- "when you touch it over here, it wiggles over there." This vulnerability shows the need for an understanding of the parts that make up the system, an estimation of how an option proposed to change one part of the system may influence other parts (Figure A, page 116), and creative thinking about how to capitalize on, or compensate for, the ripple effects (Smith-Davis, 1990).

When tension exists between goals that appear to be mutually exclusive, a "jello analysis" can be particularly meaningful. The following are examples of such quandaries in education:

* QUALITY AND QUANTITY. Measures taken to improve the skills and knowledge of personnel (e.g., more stringent preservice exit requirements; enhanced certification standards; teacher testing) may have the effect of reducing the numbers of available, qualified personnel. Or measures taken to increase the availability of personnel (e.g., alternative routes to certification, emergency certification) may have a negative impact on quality. This is not to say that such actions should not be taken. Rather, options and alternatives should be examined to determine both their intended and unintended outcomes for the long and short term, and steps should be taken to compensate, remedy, and/or provide additional supports in those areas where negative impacts may be felt.

* EXCELLENCE AND EQUITY. Focusing primarily on academic excellence, the first wave of school reform in the early 1980s prescribed changes that, in the long run, might have caused greater numbers of marginal students to experience failure or drop out. On the other hand, actions intended to benefit the growing numbers of marginal students are sometimes interpreted as "watering down the curriculum." One of the challenges of the 1990s will be to achieve the balance between excellence and equity in education for all students. This will require an acute understanding of how an action "here" can "make the jello wiggle over there."

Clearly, the anticipatory planning implied by the "jello analysis" involves not only strategic thinking by planners, but also creativity, ingenuity, and cooperative linkages on the part of all participants.

THE VALIDITY OF ASSUMPTIONS

The purpose of policy is to affect practice. "Inevitably, then, an educational policy must be based on some assumptions about educational practice. If these assumptions are correct, then the policy may have its intended consequence. If these assumptions are incorrect, then the policy will probably not have its intended consequences" (Wise, 1983, p. 101), or it will have unintended outcomes that are not desired.

Some educators (e.g., Skrtic, 1988) point to Public Law 94-142 as an example of major policy legislation which (though a landmark for the rights of individuals with disabilities) may have been based, in some respects, on faulty assumptions about the ways schools are organized. According to Skrtic (1988), for example, schools could not make the kinds of fundamental changes that this law requires, and have more often had to "simulate" some of the required provisions through add-on programs, "rituals," and "ceremonies." The unintended consequences are said to include the over-identification of students for special education, undue labeling, and unnecessary segregation of special education apart from the mainstream.

JUGULAR VEIN DECISIONS

Sweeping policy decisions are not the only actions that can lead to unanticipated outcomes. There are many medium-range decisions which will determine at least as much about an organization's destiny as master plans, and which will create as many consequences and ripples. Baldridge (1983) calls these "jugular vein decisions" and cites such examples as the following:

* MAJOR BUDGET CHANGES can create new priorities, programs, and personnel roles that should be regarded as major changes along with the budget change.

* SELECTION OF KEY PERSONNEL. The quality and characteristics of people will shape an organization.

* IMPROVING FUNCTIONS WITHIN THE ORGANIZATION. Development of a management information system, constructing better linkages with outside organizations, computerizing the work of the organization -- or even changing from rooms to cubicles -- can create ripple effects that change other aspects of the organization.

IMPACT NETWORKS AND RELEVANCE TREES

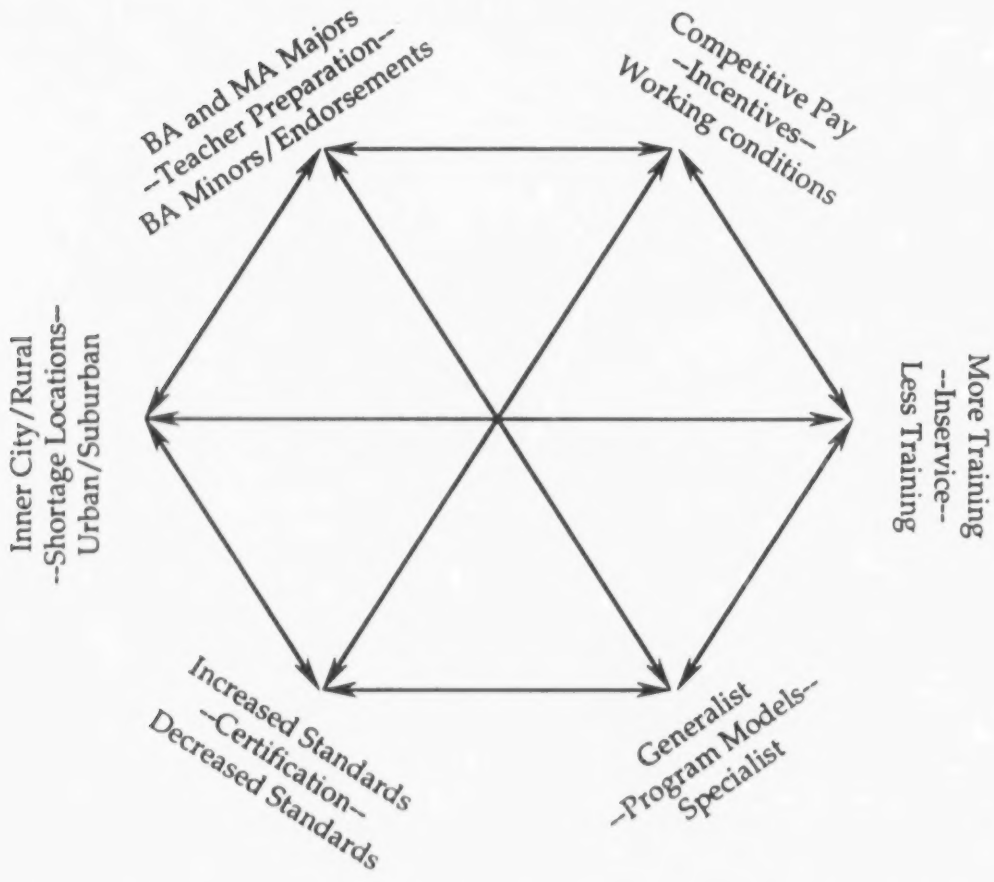
A relevance tree is a graphic presentation that outlines the analysis of an issue for its relevance to or impact on other parts of the system.

Impact networks are "brainstorming techniques designed to identify potential impacts of key events on future developments" (Morrison, Renfro, & Boucher, 1984, p. 38).

Appended at the end of this summary are: (a) list of questions that may be useful in evaluating potential impacts of decisions, assumptions used to make decisions, and medium-range decisions whose impact on the organization often go unrecognized; (b) a visual that may be used for impact networking; and (c) a visual that shows an example of impact networking and a relevance tree where the focal issue is a change in faculty tenure policies.

Figure A:

The Jello Analysis, or "the whole is greater than the sum of the parts."



For any given content element of the CSPD (e.g., certification) there are alternative actions which can be taken that will either increase or decrease the supply of qualified personnel (that is, staff who both meet state standards and have the skills needed). This graphic depicts the complexity faced by CSPD planners: "solutions" to any CSPD problem at one point, impacts elsewhere. Effective planning for change is a process of anticipating these impacts and accommodating them. CSPD planning requires attention to (1) the content of planning (e.g., inservice training needs, certification standards), (2) the interactions among these areas occasioned by change in any of them (e.g., easing certification standards to increase the applicant pool may require more intensive inservice training or a change in program model), and (3) the processes required to bring about successful change in a multifaceted environment (e.g., the need for collaboration, stakeholder analysis, constituency building).

Source: Western Regional Resource Center, 1991

CHECKLIST FOR LOOKING AT THE BIG PICTURE

1. THE JELLO ANALYSIS:

- √ What influence is an option or alternative likely to have on other parts of the system?
- √ How can these effects be minimized or used constructively?
- √ How can the affected parts of the system be strengthened or supported to absorb the impact without damaging results?

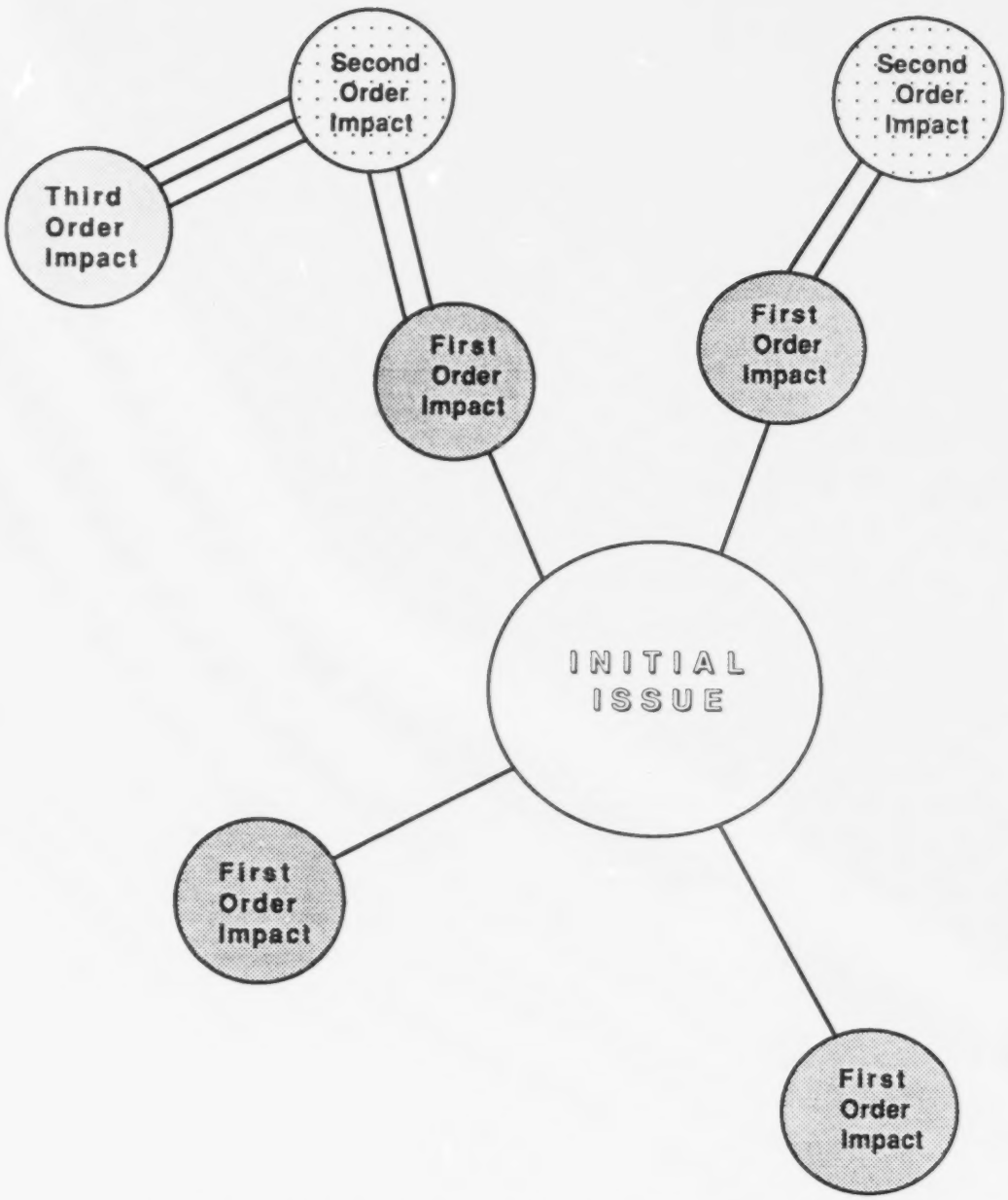
2. THE VALIDITY OF ASSUMPTIONS:

- √ On what assumptions is the option or alternative based?
- √ What is the source of these assumptions?
- √ Do the assumptions validly reflect practice, school organization, or other relevant variables they are intended to address -- for the present and foreseeable future?
- √ Have any factors been omitted?

3. JUGULAR VEIN DECISIONS:

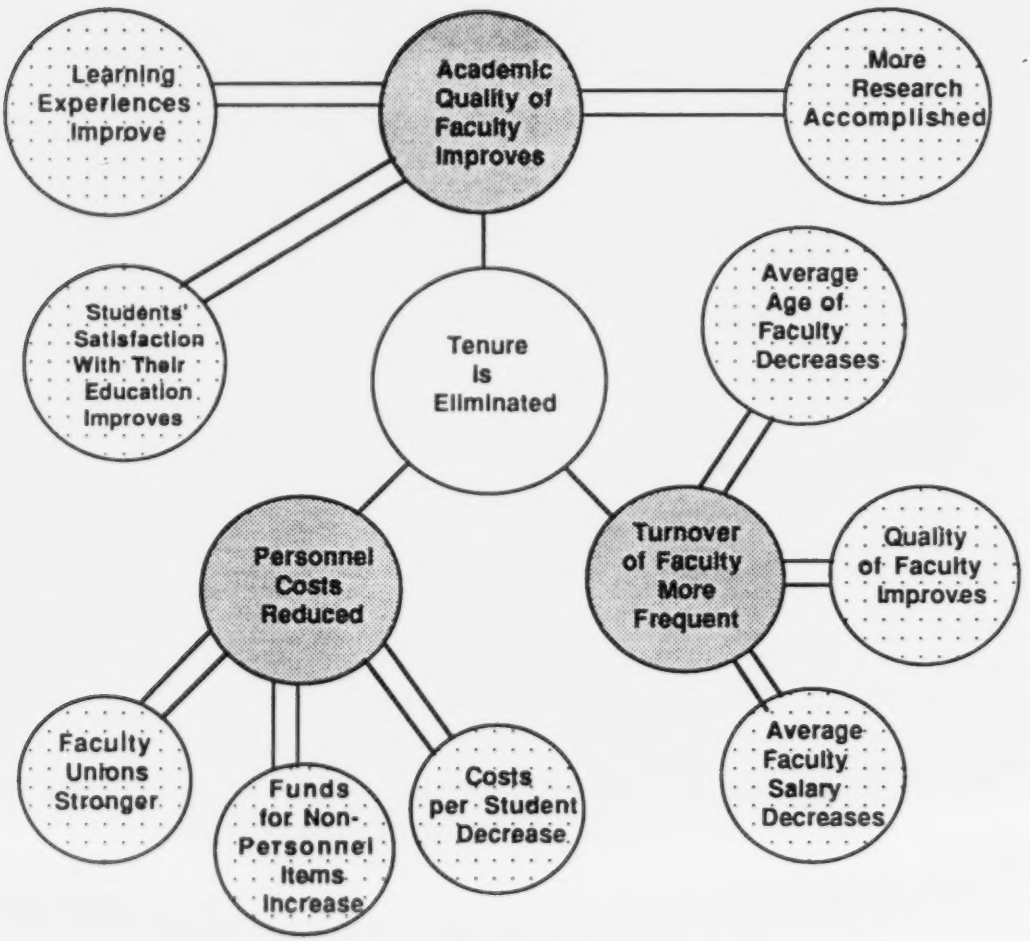
- √ Are unintended consequences considered in medium-range decisions about budgets, personnel, and other operational functions?
- √ Are budget decisions, personnel selection, and other operational practices viewed and used as opportunities for bringing about intended changes in the organization?

IMPACT NETWORK



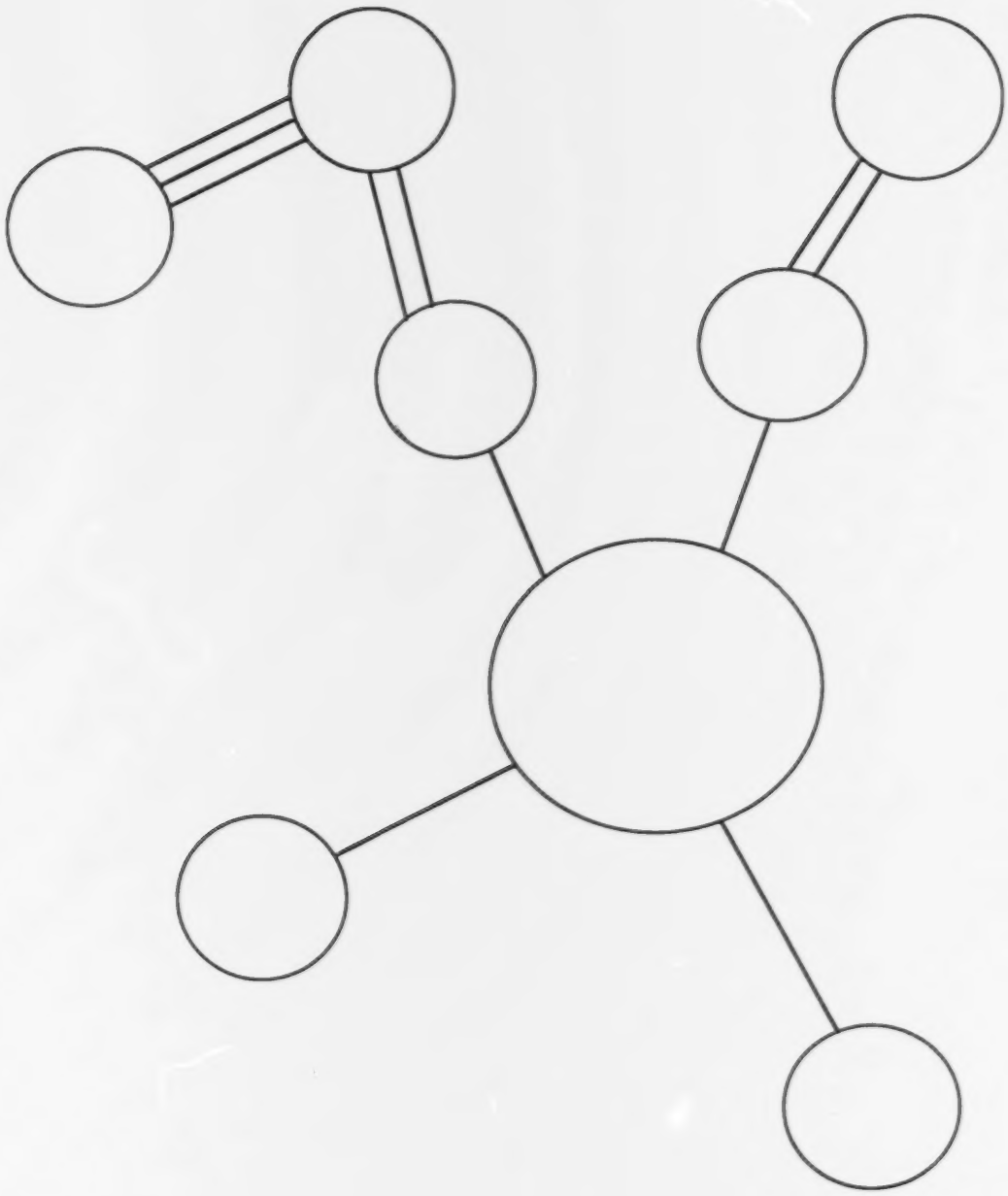
Note: The figure originally appeared in Wagshall, P.H. (1983). Judgmental forecasting techniques and institutional planning. In J. Morrison, W. Renfro & W. Boucher (Eds.) Applying Methods and Techniques of Future Research, No. 39. San Francisco, CA: Jossey-Bass Publishers.

AN IMPACT NETWORK:
THE CONSEQUENCES OF ELIMINATING TENURE


Learning Experiences Improve
Academic Quality of Faculty Improves
More Research Accomplished
Students' Satisfaction With Their Education Improves
Tenure Is Eliminated
Average Age of Faculty Decreases
Personnel Costs Reduced
Turnover of Faculty More Frequent
Quality of Faculty Improves
Faculty Unions Stronger
Funds for Non-Personnel Items Increase
Costs per Student Decrease
Average Faculty Salary Decreases

Note: The figure originally appeared in Wagshall, P.H. (1983). Judgmental forecasting techniques and institutional planning. In J. Morrison, W. Renfro & W. Boucher (Eds.) Applying Methods and Techniques of Future Research, No. 39. San Francisco, CA: Jossey-Bass Publishers.

IMPACT NETWORK



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The figures called "An Impact Network" and "An Impact Network: The Consequences of Eliminating Tenure" are from:

Wagshall, P. H. (1983, August). Judgmental forecasting techniques and institutional planning. In J. L. Morrison, W. L. Renfro, & W.I. Boucher (Eds.). ***NEW DIRECTIONS FOR INSTITUTIONAL RESEARCH, NO. 39***. San Francisco, CA: Jossey-Bass Publishers -- as reprinted in Morrison, Renfro, and Boucher (1984), cited above.

COMMUNICATION AS A BASIS FOR COOPERATION

* PROMOTE AN IDENTITY, IMAGE, AND THEME

* DESIGN INFORMATION FROM THE USER'S VIEWPOINT

* MAKE INFORMATION MANAGEABLE FOR RECIPIENTS

* UNDERSTAND THAT ONCE IS NOT ENOUGH

* ACTIVATE PEOPLE AND CREATE LEADERS

This section presents a few guidelines for designing a communication program and using information to reinforce and advance the plans for change. The focus is on a participatory communication system that fosters positive attitudes and generates involvement.

COMMUNICATION AS A BASIS FOR COOPERATION

As the basis for cooperation, coordination of effort, and the pooling of knowledge, information and its communication are the cornerstones of progress. Communication: (a) is a process, not an event; (b) develops a relationship between senders and receivers; and (c) largely determines what that relationship will be. The way that information is shared will influence the degree to which people become involved, coordinated, and motivated to act together for a common purpose.

The following are some guidelines for designing a communication process that will encourage cooperation among participants.

PROMOTE AN IDENTITY, IMAGE, AND THEME

The goals and mission of the change effort should form the theme for all activities, and this theme should guide the content of dissemination. The theme should also be expressed and recognized symbolically by participants.

* DESIGN A LOGO. A visual image helps to establish the identity of the effort and will orient people to the theme each time they see it. The logo should appear on all communications and should be carried by many people. For example, all participants in planning groups, collateral groups, pilot efforts, studies, and other activities can be given business cards bearing the logo with their names and addresses. The more people who can carry this image into their communities, the more the sense of cooperation will multiply.

* PICK A GOOD NAME for the program. A good name reflects the theme, is understandable to others, contains no acronyms, is easy to say, and gives some prestige to the participants. If the term "Comprehensive System of Personnel Development" is too long or cumbersome, then call the program something else (the law does not tell us what we must publicly name our programs.). Alternatives might be, for example, "The Idaho Alliance for the Best Teachers in the USA" or "The Kentucky Education Committee for the 21st Century." Just make sure that everyone can be part of the alliance or committee in some way, and that they know it.

* LET THE THEME GUIDE THE CONTENT. Information should be targeted to the theme (goals and mission) of the change effort. If promising practices and research/development results are of interest, more than a scatter-shot approach is necessary. The content of the practices and results that are disseminated should correspond to the content of the theme. Communication is one part of the overall plan; its purpose is to concentrate on information that will reinforce the theme and advance the plan.

DESIGN INFORMATION FROM THE USER'S VIEWPOINT

All parts of the organization or system should develop a common knowledge of issues that affect them, but different groups will have different reasons for being interested in similar information.

* SPEAK TO THE CONTEXT OF EACH COMMUNITY or constituent group, and show each recipient group why the information is important to its members. Sending the same report to all constituencies without individualization reduces its attention value and can reinforce the tendency of one community to transfer responsibility for the problem to another. Also remember that all communities do not share the same terminologies.

* COUCH THE UNFAMILIAR IN THE FAMILIAR. When something new or unusual is communicated, it is useful to give the recipient "something to hang her hat on" by relating the new information to what she already knows. For example, if new rules and regulations must be disseminated, it is useful to tell not only what is new but how the old is different from the new.

* ACCENTUATE THE POSITIVE. Problems can be communicated as opportunities to examine important issues, improve conditions, or participate in solutions. If plans are being made to address problems, people need to know what the plans are and how to participate at their own levels. In addition, all dissemination programs should deliberately include an emphasis on GOOD NEWS about people and programs.

* HUMANIZE THE CONTACT. To encourage people to read information or respond to a request, few things are as effective as a handwritten note on the cover memo. "From one office to another" becomes "from one person to another." Follow-up phone calls are also helpful.

MAKE INFORMATION MANAGEABLE FOR RECIPIENTS

For purposes of bringing about change, information in short bursts generally succeeds better than length. People automatically set aside lengthy material for later, but will usually look at a short item immediately.

* SEND LONG REPORTS AS SEPARATE FACT SHEETS. Although many facts, figures, and developments may comprise the common body of knowledge about an issue, all of these need not be communicated at the same time. A continuing stream of brief information is better than infrequent distribution of lengthy documents, because it will have a dual attention -getting value: (a) the recipient is more likely to read and retain a short communication, and (b) a continuing "stream on a theme" becomes an attention-getting device in itself.

* DIVIDE AND LABEL. If voluminous information must be communicated, it can be divided into manageable parts, with headings, sidebars, divider pages, varied colors of paper, and other devices to show that it consists of many shorter parts that can be reviewed individually and more quickly than the whole. The cover memo can also indicate what the parts are, and that they may be reviewed as separate pieces.

UNDERSTAND THAT ONCE IS NOT ENOUGH

Hearing about something many times from many sources reinforces and elevates the importance of the information. Moreover, since the process of change involves "selling" an idea, the methods of the advertising industry show the need for many varieties of contacts with the "buyers."

* USE VARIOUS MEDIA. Variations of basic information can be delivered in fact sheets, newsletters, conference presentations, electronic bulletin boards, meetings, phone calls, and other vehicles within the organization. In the larger environment, parts of the message can be disseminated by newspapers, radio, and television.

* USE CONDUITS FOR REDISTRIBUTION. Many agencies, organizations, and institutions distribute information to their particular communities. Their newsletters, conferences, and other information vehicles can serve as distribution points.

ACTIVATE PEOPLE AND CREATE LEADERS

Dissemination activities should stimulate interaction, not passive receiving, and bring people together both directly and indirectly.

* CREATE TWO-WAY INTERACTIONS. One purpose of a communication system is clearly to influence, but communicators should be equally concerned with being influenced. There should be a balance between influencing (feedforward) and sensing (feedback) what is occurring in the environment. One source of resistance to change is the feeling among constituents that they are powerless in the process. The communication program should not only be open for feedback, but should actively seek it.

* PROMOTE NETWORKING. Putting people in touch with resources, information, expertise, and colleagues in similar situations is a stimulus for change. If some individuals or groups are working on new methods or programs, others may see that it can be done and learn from it. Lists of innovative programs, pilot projects, research efforts, planning activities, advisory committees, working groups, and others will promote networking, particularly if they briefly describe the substance of each effort and include full contact information. Because this publicity can be reinforcing to those named on lists, it is important to include not only the most ambitious endeavors, but also modest efforts to participate in change.

* ENCOURAGE PROACTIVE INFORMATION SEEKING. All communications should contain specifics on sources where recipients can find out more. If the sending agency offers more, and can track those who request it, these people may turn out to be the risk takers or early adopters who can be valuable to the change effort.

* TEACH THE PROCESS. If strategic planning or change strategies are being implemented, there is no reason not to share the basics of the process. Although all constituents will not think the same thing, they can learn to think about problem-solving in the same way. If they can understand and apply the process themselves, they will have a stronger basis for engaging in it and agreeing with the outcomes.

* LET MANY OTHERS CARRY THE WORD. Participants from planning groups, collateral groups, and others who emerge as leaders in the change program should be assigned responsibilities for speeches and presentations in their own communities and/or across the state. One way to arrange this is through a Speaker's Bureau which is publicized and which refers these individuals when presentations on the plans are requested. The program should carry many kinds of opportunities for recognition of the participants who are making it work.

Additional assistance on using information and communication to bring about change may be requested from: Judy Smith-Davis, 10860 Hampton Road, Fairfax Station, Virginia 22039; 703/239-1557; SpecialNet: SMITHDAVIS

THE CONCERNS-BASED ADOPTION MODEL

* OVERVIEW

* CHECKLIST: STAGES OF CONCERN ABOUT AN INNOVATION

* CHECKLIST: LEVELS OF USE OF AN INNOVATION

The Concerns-Based Adoption Model (C-BAM) is based on the understanding that change entails developmental growth in an individual's feelings and skills in relation to an innovation -- and that people have different concerns at different stages of this development. Change is viewed as a process in which people's concerns, readiness, attitudes, and skills vary as the process takes place.

The Concerns-Based Adoption Model is useful in reducing resistance to change because it focuses on the individuals who must implement it. It has particular applications that incorporate training as a method for bringing about change.

The attached pages are only a brief summary of this model. Readers are urged to obtain complete information from the extensive literature that has been published. The information included in this summary resulted from research conducted under contract with the National Institute of Education, and two specific references are:

Loucks, S., Newlove, B., & Hall, G. E. (1975). ***MEASURING LEVELS OF USE OF THE INNOVATION: A MANUAL FOR TRAINERS, INTERVIEWERS AND RATERS***. Austin, TX: University of Texas, Procedures for Adopting Educational Innovations Project/CBAM, Research and Development Center for Teacher Education.

Hall, G. E., George, A. G., & Rutherford, W. L. (1977). ***MEASURING STAGES OF CONCERN ABOUT THE INNOVATION: A MANUAL FOR USE OF THE SoC QUESTIONNAIRE***. Austin, TX: University of Texas, Procedures for Adopting Educational Innovations Project/CBAM, Research and Development Center for Teacher Education.

THE CONCERNS-BASED ADOPTION MODEL (C-BAM)

The Concerns-Based Adoption Model, developed by Gene Hall and colleagues at the University of Texas-Austin, helps determine how innovations can be adapted to meet the individual needs and styles of the persons who must implement them (Hall, 1978; Hall, Loucks, & Rutherford, 1977; Hall & Loucks, 1978). The model is based on the research of Frances Fuller (1969) in connection with student teachers in preservice training programs, and it has particular applications for strategies that incorporate training as a method for bringing about change. It includes methods for determining users' concerns and readiness and for incorporating these understandings into training.

THE ASSUMPTIONS underlying the Concerns-Based Adoption Model are as follows (Hall, 1978, pp. 49-50):

1. Change is a process, not an event.

2. Change is made first by individuals and then by institutions.

3. Change is a highly personal experience.

4. Change entails developmental growth in feelings and skills in relation to the innovation.

5. The change facilitator must function in highly adaptive, systemic, and personalized ways if change is to be facilitated most efficiently and effectively for the individuals and for the institution as a whole.

Data collected during the development and testing of the C-BAM have shown that, early in an innovation, teachers are most concerned about having general descriptive information and about the personal implications of the innovation. Later, management concerns become more important to teachers, and these kinds of concerns can last for several years. Still later in the process, when teachers feel more comfortable in implementing the innovation properly, they begin to focus on the impact of the innovation on their students. Research has also shown that people do not experience one stage of concern at a time, but have a "concerns profile" in which some levels of concern predominate at any given time.

The following pages display the "Stages of Concern About an Innovation" and "Levels of Use of an Innovation" (Hall, 1978, pp. 52 and 55). Each display examines the user's frame of reference from a different point of view, and should be useful for trainers who wish to take a marketing approach by matching their instruction and resources to the consumers' needs. It may be of particular interest to recognize that training may often terminate while users are still at an early point in their stages of concern or use, and may therefore fail to bring about the desired change.

It is recommended that readers obtain the extensive information that has been published on this model.

REFERENCES

Fuller, F. (1969). Concerns of teachers: A developmental reconceptualization. *AMERICAN RESEARCH JOURNAL*, 6(2), 207-226.

Hall, G. E. (1978). Facilitating individual change using the individual as the frame of reference. In J. K. Grosenick & M. C. Reynolds (Eds.). *TEACHER EDUCATION: RENEGOTIATING ROLES FOR MAINSTREAMING*. Reston, VA: The Council for Exceptional Children.

Hall, G. E., George, A. G., & Rutherford, W. L. (1977). *MEASURING STAGES OF CONCERN ABOUT THE INNOVATION: A MANUAL FOR USE OF THE SoC QUESTIONNAIRE*. Austin, TX: University of Texas, Research and Development Center for Teacher Education.

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STAGES OF CONCERN ABOUT THE INNOVATION

6	REFOCUSING	The focus is on exploration or more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. The individual has definite ideas about alternatives to the proposed or existing norm of the innovation.
5	COLLABORATION	The focus is on coordination and cooperation with others regarding the use of the innovation.
4	CONSEQUENCE	Attention focuses on the impact of the innovation on students in the individual's immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes (including performance and competencies), and changes needed to increase student outcomes.
3	MANAGEMENT	Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.
2	PERSONAL	The individual is uncertain about the demands of the innovation, his/her adequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial and status implications of the program for self and colleagues may also be reflected.
1	INFORMATIONAL	A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself or herself in relation to the innovation. He/she is interested in substantive aspects of the innovation in a selfless manner, such as general characteristics, effects, and requirements for use.
0	AWARENESS	Little concern about or involvement with the innovation is indicated.

LEVELS OF USE OF AN INNOVATION

0 NONUSE	State in which the user has little or no knowledge of the innovation, no involvement with the innovation, and is doing nothing toward becoming involved.
1 ORIENTATION	State in which the user has recently acquired or is acquiring information about the innovation and/or has recently explored or is exploring its value orientation and its demand upon user and user system.
2 PREPARATION	State in which the user is preparing for first use of the innovation.
3 MECHANICAL USE	State in which the user focuses most effort on the short-term, day-to-day use of the innovation, with little time for reflection. Changes in use are made more to meet use needs than client needs. The user is primarily engaged in a stepwise attempt to master the tasks required to use the innovation, often resulting in disjointed and superficial use.
4 A. ROUTINE	State in which use of the innovation is stabilized. Few, if any, changes are being made in ongoing use. Little preparation or thought is being given to improving the innovation's use or consequences.
B. REFINEMENT	State in which the user varies the use of the innovation to increase the impact on clients within the immediate sphere of influence. Variations are based on knowledge of both short and long term consequences for clients.
5 INTEGRATION	State in which the user varies the use of the innovation to increase the impact on clients within immediate spheres of influence. Variations are based on knowledge of both short and long term consequences for clients.
6 RENEWAL	State in which the user re-evaluates the quality of use of the innovation, seeks major modifications of or alternatives to the present innovation to achieve increased impact on clients; examines new developments in the field; and explores new goals for self and system.

SCREENING PROMISING PRACTICES FOR ADOPTION

* OVERVIEW: BUYERS AND SELLERS

* THREE CONSUMER STANDARDS

* AN INSTRUMENT FOR SCREENING PROMISING PRACTICES

In the current commerce of educational dissemination, the balance may be in favor of the sellers. If those who identify and adopt new practices and products can begin to apply objective consumer standards, this commerce can become what it rightfully should be -- a buyer's market, in which consumer requirements for effectiveness, replicability, and goodness of fit influence the marketplace.

This summary suggests three consumer standards that educators can use in evaluating potential new products and practices. Also included is an instrument that participant groups may use to evaluate innovations.

SCREENING PROMISING PRACTICES FOR ADOPTION

"A large number of people across the country (commercial, professional, for-profit, nonprofit, private, federally funded, or otherwise) are purveying new practices and products -- instructional materials, training programs, workshops, books, audiovisuals, education models, software, and other technological packages. Let us call these people SELLERS.

"At the same time, many others are involved in efforts to improve the schools through the adoption of new practices and products, and these people may be called BUYERS. In sorting out the array of innovations that are available, buyers should seek to be systematic, objective and responsible. A number of questions and criteria can and should be applied in the selection process, and these can be classified as the following three major concerns that form the bottom line of responsibility" (Smith-Davis, 1987, p. 34), expressed below as consumer standards.

CONSUMER STANDARDS

1. DOES IT WORK?

   * What objective evidence can the seller furnish that a practice or product has been demonstrated to be effective in achieving what it claims?

2. WHAT ARE THE MINIMUM STANDARDS FOR REPLICATION?

   * Can the seller describe the precise attributes, procedures, and details that represent the integrity of the practice and that comprise its programmatic and management specifications? Has the innovation been prepared specifically for use by others?

3. DOES IT FIT?

   * Can the buyer define his local conditions and contexts and use this information to determine which practices and products will best fit local characteristics? And can the seller provide information on the innovation that will clarify the contexts in which it is most likely to succeed?

When sellers are unable to respond to the first two questions, this means in fact that their practices are not yet ready to be adopted or adapted by others. When sellers can respond, then those responsible for selection have something to work with and can set about deriving other information that can lead to a match between an innovation and the characteristics of the potential user site.

* If those who identify and adopt practices and products can begin to apply CONSUMER STANDARDS, the commerce of dissemination can become what it rightfully should be -- A BUYER'S MARKET.

The following pages present an instrument to use in screening promising practices for adoption. This was developed by the author for the Dissemin/Action Project (1979-85) and has been disseminated widely. The checklist, as it appears here, is reprinted from the publication cited at the bottom of this page. It may be modified to include additional factors that particular groups may wish to consider when examining new practices.

The screening instrument also offers a means for participatory planning at any educational level where new practices are being considered. The involvement of the implementers in planning change and selecting new practices is one strategy for strengthening their readiness and willingness to take part in planned change.

REFERENCE

Smith-Davis, J. (1987, Winter). We will get what we expect. *CALIFORNIA SCHOOL BOARDS JOURNAL* (Special Issue on Effective Schools), 45(3), pp. 34-37

Persons interested in new practices for special education and general education at the preschool, elementary, secondary, preservice, and inservice levels -- as well as for parents and administrators -- may wish to access SpecialNet's PRACTICES bulletin board and PROMISING EDUCATIONAL PRACTICES database. All descriptions include evidence of effectiveness and full contact information on the developer. New descriptions are added to the PRACTICES bulletin board at the rate of four per month. The bulletin board downloads into the PROMISING EDUCATIONAL PRACTICES database, where all contents are stored. Currently, nearly 500 descriptions are available in the database.

Screening Promising Practices For Adoption

YOU ARE THE BUYER. You are the selector, or user of promising practices for classroom use by students, or for the education of teachers, or for making changes in service delivery systems. THE SELLER is the developer and/or purveyor of a promising practice. The seller is responsible for presenting his wares in terms that will make it possible for: (a) knowing what you need programmatically; (b) knowing yourself — your local conditions, contexts, and resources; and (c) asking structural questions whose answers will tell you whether or not a promising practice will fit local characteristics.

WHEN YOU USE THIS SCREENING SHEET, you are shopping to fill an identified programmatic need. (For example, you already know the curricular area and target population to be served by the practice you are seeking.) This Screening Sheet lists structural and contextual questions that you should ask about a practice and about yourself, and it suggests a scale for rating the relative match between the practice and yourself.

	Ask The Seller	Ask Yourself	Rate The Match
Claims	What goals and objectives is the practice designed to achieve?	What goals and objectives am I seeking to fulfill?	1 2 3 4 5 No Match — Good Match
	Notes _____		
Effectiveness	What evidence proves this practice is successful in achieving what it claims?	How stringently should effectiveness be demonstrated by practices in this domain? IS THE EVIDENCE CONVINCING?	1 2 3 4 5 No Match — Good Match
	Notes _____		
Relative Advantage	Does the new practice offer something that makes it better than what is already in operation here?	What evidence is there that shows the need to adopt this or any other new program?	1 2 3 4 5 No Match — Good Match
	Notes _____		
History of Use	In what administrative, geographical, and educational settings has the practice been used?	What are the definitive qualities of my administrative, geographical, and educational setting?	1 2 3 4 5 No Match — Good Match
	Notes _____		

(continued)

Screening Promising Practices For Adoption

	Ask The Seller	Ask Yourself	Rate The Match
Minimum Standards For Replication	Exactly what must the adopter do to achieve success?	What am I willing and able to do to replicate a practice?	1 2 3 4 5 No Match — Good Match
	Is the practice completely proscribed? Does it permit adjustments and additions by the adopter?	Am I seeking a flexible or proscribed program to meet this need?	
	Can the practice be tried out on a small scale first?	Is a trial effort desirable as part of the decision-making process?	
	Does anything have to be added at the adopter site?	What am I willing and able to add to the practice I adopt?	
	Notes _____		
Compatibility	How much change will this practice create in parallel systems and programs?	How much overall change do I seek?	1 2 3 4 5 No Match — Good Match
		How far does this practice depart from local established policy and practice?	
	What background or level of sophistication does the practice demand of users or participants?	What is the background and level of sophistication of my intended users and participants?	
	What are the specific age levels and learning, behavioral, and other characteristics of the children for whom this practice is designed?	What are the characteristics of the children who are intended to benefit from the adoption of a new practice?	
	Notes _____		
Complexity and Convenience	How complicated is this practice? Is there an elaborate set of procedures with a definite sequence?	What level of complexity can we accommodate in implementing a new practice?	1 2 3 4 5 No Match — Good Match
	How much discomfort and reorganization will occur if it is put into practice?	What level of discomfort and reorganization can be tolerated?	
	Notes _____		

(continued)

Screening Promising Practices For Adoption

	Ask The Seller	Ask Yourself	Rate The Match
Assistance With Implementation	How is this practice conveyed to new users?	What kinds of training or assistance will I need in order to implement a new practice?	1 2 3 4 5 No Match ... Good Match
	What follow-up and problem-solving assistance is given?	Will I need external follow-up and problem-solving from the developer?	
	Notes _____		
Costs	What is the purchase price of adoption and training?	What budget has been estimated for initiating a new practice?	1 2 3 4 5 No Match ... Good Match
	What is the cost of implementing and maintaining the practice?	What budget has been estimated for implementing and maintaining a new practice?	
	What additional resources does the practice require in money, personnel, facilities, equipment, and materials?	What additional resources are available for initiating and implementing a new practice?	
	What learning materials or other materials are required? Where do they come from? How much do they cost? Are they reusable or reproducible?	What budget has been estimated for purchasing, supplementing, and reproducing materials?	
	Notes _____		
Payoff	How rapidly does the practice achieve its goals?	What is my timeline for producing change?	1 2 3 4 5 No Match ... Good Match
	How many individuals can participate simultaneously?	What is the total number of individuals intended to participate in this practice?	
	Does the package include evaluation procedures for measuring success?	What are my criteria for judging the success of my replication of this practice?	
	Notes on cost-effectiveness _____		

The _____ practice was screened on _____ 19____

by _____

It was judged ☐ worthy ☐ unworthy of further consideration, demonstration, and trial use because

_____

_____

_____

THE SEVEN FACTORS THAT ACCOUNT FOR MOST OF THE SPREAD AND UTILIZATION OF KNOWLEDGE

* OVERVIEW

* RESOURCE SYSTEMS, USERS, MESSAGES, AND MEDIA

* HOW TO USE THE SEVEN FACTORS

* HAVELOCK'S SEVEN FACTORS

The first step in bringing about change is the spread and use of knowledge about it. The end point -- the recipient's awareness, integration, and use of this knowledge -- is what matters. If information is disseminated but no one attends to it, nothing will change.

The seven factors that account for most of the spread and utilization of knowledge were identified by Havelock (1972) and remain useful today. These factors, in interaction with the components of a communication process, are the essential requisites that stimulate the USE of the information that is disseminated.

This information may be used in evaluating current communication activities or in setting up a communication program for planned change.

SEVEN FACTORS THAT ACCOUNT FOR MOST OF THE SPREAD AND UTILIZATION OF KNOWLEDGE

An invention is the solution to a problem. But the solution will not work if no one applies it. Innovation is the successful USE of the invention. In order to bring a solution into widespread use, it is necessary to concentrate on its adoption, use, and institutionalization from the very beginning (Bacon & Butler, 1981).

The first step toward use of an innovation is the spread and use of knowledge about it. Therefore, the strategies employed for communication in the early stages of planned change are vitally important.

Havelock's (1972) review of research on the diffusion of innovations has not been surpassed for its comprehensiveness in the years since it was completed. This paper offers a brief summary of his findings, which may be useful for evaluating current communication efforts or planning new ones.

RESOURCE SYSTEMS, USERS, MESSAGES, AND MEDIA

Havelock's (1972) study identified four components in the dissemination and use of knowledge, as follows. Each of these components should be related to each of the seven factors that influence the spread and use of knowledge:

* THE RESOURCE SYSTEM which transmits knowledge to others.
* THE USER SYSTEM which receives knowledge for use.
* THE MESSAGE which contains and interprets knowledge.
* THE MEDIUM which conveys messages from resource systems to user systems.

USING THE SEVEN FACTORS

The seven key factors that Havelock identified are functions of the interaction among the Resource System, the User System, the Medium, and the Message (the components of the communication process). These seven factors, summarized below, are intended as guidelines for the dissemination and diffusion of knowledge as part of a program of planned change.

In using this information, the reader should consider all seven factors in relation to each component of the communication process. For example, one should consider:

- How well does the Resource System function in terms of linkage, structure, openness, capacity, reward, proximity, and synergy?
- How well does the User System function in terms of linkage, structure, openness, capacity, reward, proximity, and synergy?
- How well does the Message (the content communicated) function in terms of linkage, structure, openness, capacity, reward, proximity, and synergy?
- How well does the Medium (for conveying information) function in terms of linkage, structure, openness, capacity, reward, proximity, and synergy?

HAVELOCK'S SEVEN FACTORS

1. LINKAGE. The number, variety, and mutuality of resource system/user system contacts, their degree of inter-relatedness, and their collaborative relationships.

   * The more linkages there are, and the stronger these linkages are, the more effective will be the day-to-day contact and exchange of information, hence the greater will be the mutual utilization of knowledge.

   * The greater the number of overlapping linkages throughout the macro-system of knowledge production and dissemination, the more frequent and the more effective will be the knowledge utilization by all.

2. STRUCTURE. The degree of systematic organization and coordination -- of the resource system, of the user system, of the strategy, and of the message.

   * Successful utilization activities tend to be structured activities, and useful knowledge is structured knowledge.

   * The extent to which structuring takes place in the sender and receiver and in the message seem to be important correlates of successful dissemination and utilization.

3. OPENNESS. The belief that change is desirable and possible. Willingness and readiness to accept outside help. Willingness and readiness to listen to needs of others and to give help. A social climate favorable to change.

   * Closed systems and closed minds are, by definition, incapable of taking in important new messages from outside. If they cannot take in, then they cannot utilize knowledge for internal changes. Openness is a vitally important quality of innovative systems.

4. CAPACITY. The capability to retrieve and marshall diverse resources. Highly correlated with wealth, power, size, centrality, intelligence, education, experience, cosmopoliteness, mobility, and the number and diversity of existing linkages.

   * The research literature is particularly convincing in suggesting that there is a general factor of capacity or competence accounting for much of the variance in diffusion studies.

   * Those who possess the most in the way of resources and capabilities are the most likely to be able to get even more.

5. REWARD. The frequency, immediacy, amount, mutuality of, planning, and structuring of positive reinforcements.

   * It is a fundamental psychological fact that rewarded behavior tends to be repeated, and this is as true in knowledge transfer transactions as in the Skinner Box.

   * The sender won't send if she doesn't get rewarded for sending. The receiver won't receive if he doesn't get rewarded for receiving. The message won't work if it has no reward value, and the medium will not be attended to if it has no reward-giving history.

6. PROXIMITY. Nearness in time, place, and context. Familiarity, similarity, recency.

   * When we bump into one another and have the chance to observe and stimulate one another by reason of being in the same place at the same time, we will inevitably learn from one another. Hence, users who have close proximity to resources are likely to use them.

   * Anything that is handy (easily accessible) is more likely to be used. This generalization applies to people and things but also, at least by analogy, to thinking processes (familiarity, recency, similarity). Proximity is also one of the factors that makes linkage more possible and hence more probable.

7. SYNERGY. The number, variety, frequency, and persistence of forces that can be mobilized to produce a knowledge utilization effect.

   * "Synergic" is defined as "exerting force together or in combination, or upon the same point." Several forces, several inputs of knowledge working together over time, produce the behavior that we identify as "knowledge utilization."

* Synergy goes beyond simple redundancy in suggesting that there should be purposeful redundancy. A variety of messages must be generated pertaining to the same piece of information, and these messages must be directed at the potential user on a number of different channels in a number of different formats, and all more or less coordinated to one goal: adoption of innovation.

OTHER IMPORTANT VARIABLES

While the seven factors listed above seem to account heavily for diffusion and utilization phenomena, Havelock pointed out that several other important variables may also be factors:

* FAMILIARITY, a type of psychological proximity, is undoubtedly an important quality in the successful resource, the successful message, and the successful medium -- up to a point. Over-familiar resource systems may not be seen as potential repositories of new and useful information.

* PRIMACY, or "being first," seems to have inordinate weight in human affairs.

* STATUS is an ambivalent variable. Ambiguity of status may be as important as status differences between resource and user.

* VALUES are the basic stop-and-go signals for human behavior. This suggests that messages that clearly contradict existing values will not get anywhere and those that appeal to them will get far.

REFERENCES

Bacon, F. R., Jr., & Butler, T. W., Jr. (1981). ***PLANNED INNOVATION (Second Edition)***. Ann Arbor, MI: University of Michigan, Institute of Science and Technology.

Havelock, R. G. (1972). Planning for innovation through dissemination and utilization of knowledge. In B. C. Porter (Ed.). ***THE OREGON STUDIES: RESEARCH, DEVELOPMENT, DIFFUSION, EVALUATION, Vol. II, Part 2***. Monmouth, OR: Teaching Research.

CHECKLIST FOR PLANNING OR EVALUATING A COMMUNICATION PROCESS FOR PLANNED CHANGE

SEVEN FACTORS	FOUR COMPONENTS: Resource System	User System	The Message	The Medium
Linkage				
Structure				
Openness				
Capacity				
Reward				
Proximity				
Synergy				

SEVEN FACTORS THAT INFLUENCE THE RATE OF ORGANIZATIONAL CHANGE

* DEGREE OF COMPLEXITY: THE IMPORTANCE OF SKILLS
* DEGREE OF CENTRALIZATION: THE IMPORTANCE OF POWER
* DEGREE OF FORMALIZATION: THE IMPORTANCE OF RULES
* DEGREE OF STRATIFICATION: THE IMPORTANCE OF REWARDS
* AMOUNT OF PRODUCTION: THE IMPORTANCE OF ACHIEVEMENT
* AMOUNT OF EFFICIENCY: THE IMPORTANCE OF RESOURCES
* AMOUNT OF JOB SATISFACTION: THE IMPORTANCE OF MORALE

In 1970, Jerald Hage and Michael Aiken reviewed research to determine factors that appeared to have the greatest influence on the propensity for change within organizations, and their findings remain relevant today. The studies reviewed to isolate these factors covered a wide variety of organizations, including schools, and the frame of reference was the sociological study of change in organizations.

This very brief summary of these factors and their implications may be helpful for those who seek greater understanding of barriers to change and how they might be altered as a strategy for facilitating change. Hage and Aiken's work also helps us to understand why education is often slow to make fundamental systemwide changes.

Readers are referred to Hage and Aiken's complete volume for a full discussion of these factors and of strategies for change in organizations.

Hage, J., & Aiken, M. (1970). *SOCIAL CHANGE IN COMPLEX ORGANIZATIONS.* New York, NY: Random House.

SEVEN FACTORS THAT INFLUENCE THE RATE OF ORGANIZATIONAL CHANGE

Although organizations seldom stand still, Hage and Aiken (1970) have pointed out that there is considerable difference in their rate of change, even when they have similar objectives. On the basis of sociological studies of organizations, these authors have identified seven variables that appear highly related to change, which is the dependent variable. Thus, altering one or more of the following organizational features may be expected to reduce or enhance the propensity for change:

1. DEGREE OF COMPLEXITY
2. DEGREE OF CENTRALIZATION
3. DEGREE OF FORMALIZATION
4. DEGREE OF STRATIFICATION
5. AMOUNT OF PRODUCTION
6. AMOUNT OF EFFICIENCY
7. AMOUNT OF JOB SATISFACTION

Hage and Aiken's factors (1970, pp. 13-55), outlined very briefly here, should be considered in efforts to bring about change in complex organizations. The first four factors concern arrangement of tasks, or structural features. The last three factors, together with the rate of program change, reflect aspects of the organization's functioning or performance.

DEGREE OF COMPLEXITY: THE IMPORTANCE OF SKILLS (pp. 15-18, 33, 37)

* The number of occupations, especially those requiring knowledge, is a measure of the degree of organizational complexity.
* The complexity of an organization is measured not only by the number of occupations but also by the extensiveness of training and intricacy of tasks performed.
* Whether the training is formal or informal, the longer the period of required education, the more intricate the occupation -- and the more occupations that have long training periods within the organization, the greater the degree of complexity in the organization.

* Another degree of complexity is the degree to which members of an organization attempt to gain greater knowledge about their respective work activities and the overall activities of their organization.

* The development of greater complexity on the basis of the division of knowledge into separate occupations has been called "the process of differentiation."

* THE GREATER THE COMPLEXITY, THE GREATER THE RATE OF PROGRAM CHANGE, because:

  √ An emphasis on acquisition of knowledge makes employees concerned with new developments.

  √ Competition and/or interaction among specialties can stimulate the development of new programs.

DEGREE OF CENTRALIZATION: THE IMPORTANCE OF POWER (pp. 18-21, 38-43)

* The creation of a structure based on power is one mechanism for tying together all of the disparate activities of an organization so that the accomplishment of goals is possible.

* In a centralized structure, the responsibility for decision making is placed in the duties of a few top jobs. The decentralized structure is more like a network of many parts with similar degrees of power. Some organizations use a combination of centralization and decentralization.

* Power can be exercised both formally and informally. While authority is inherent in certain jobs, the occupants of certain other jobs have the opportunity to maneuver in such a manner as to persuade others to action.

* The higher the centralization, the lower the rate of program change, because concentrating power into the hands of a few persons in the organization tends to lead to preserving the status quo.

* THE HIGHER THE CENTRALIZATION, THE LOWER THE RATE OF PROGRAM CHANGE, because:

  √ Concentration of power with a few persons often leads to preservation of the status quo. The decision-making arrangement can allow top administrators to veto proposals for change.

- √ When centralized organizations do adopt new programs, they more often choose practices that will increase efficiency, rather than those which would result in greater decentralization or complexity.

- √ An organization with low centralization has a decision-making arrangement that allows for the representation of different occupational perspectives.

- √ Democratic decision-making implies some degree of conflict among participants; this frequently leads to high rates of change. Conflict within a defined set of boundaries is to be valued, not feared.

DEGREE OF FORMALIZATION: THE IMPORTANCE OF RULES (pp. 21-23, 43-45)

* Organizations need guidelines for their operations, and the major advantage of rules is that they provide predictability. A large number of rules suggests that the organization is highly formalized and bureaucratic.

* Rules are not always written regulations; sometimes they exist in the organization as unwritten customs.

* Most professionals (e.g., teachers, physicians, social workers) are in occupations that are structured so that direct supervision is impractical or impossible. Rules for such jobs are less appropriate and can be emphasized only at the risk of introducing some discord into the organization.

* One way to determine the degree of specificity in a given job is to count the number of rules that define what the person in the job is supposed to do.

* THE GREATER THE FORMALIZATION, THE LOWER THE RATE OF PROGRAM CHANGE, because:

  - √ Rules set limits on what people do and think; a highly formalized job provides little latitude for its occupants to consider alternative procedures or practices.

  - √ The more rules there are, the more likely that a new product or service will create conflicting demands on the individuals involved.

DEGREE OF STRATIFICATION: THE IMPORTANCE OF REWARDS (pp. 23-25, 45-49)

* The stratification system -- the way in which rewards are distributed among jobs and occupations -- can act as a divisive force in an organization making job occupants competitive.

* Some organizations (e.g., the military) have sharp dividing lines between status levels; others have minimal difference between status levels, so that it becomes difficult to determine the status hierarchy.

* The ease and rate of mobility from one status level to a higher one is another indication of stratification. A status schism occurs when there is a barrier between certain status levels or occupations in the organization (e.g., the nurse cannot become a physician; the enlisted man cannot become a general).

* The formal rank of a job is often described as status and is manifested by salaries. The informal rank is called prestige, which may be indicated by the size of one's office, view from the window, and other "perks."

* THE GREATER THE STRATIFICATION, THE LOWER THE RATE OF PROGRAM CHANGE, because:

  √ Those with greater prestige or status in an organization are less likely to favor new programs if the change diminishes status differences among jobs and occupations. Any change tends to result in a reallocation of rewards.

  √ Suggestions for change can imply criticism of present arrangements and those who instituted them; thus, a highly stratified system tends to discourage proposals for change from members who are desirous of promotion.

  √ The more sharp the distinctions between jobs, the less likely it is that interpersonal communications will develop.

AMOUNT OF PRODUCTION: THE IMPORTANCE OF ACHIEVEMENT (pp. 25-26, 49-51)

* Salary is not the only reason individuals stay in an organization; most people like to be part of a winning team.

* Within the broad area of organizational achievement, there is a fundamental policy distinction that helps to characterize differences between organizations -- the distinction between an emphasis on quantity or quality.

* Any organization that provides a service has a choice between the relative importance attached to the number of clients served or to the quality of service to the client, as a demonstration of achievement.

* THE HIGHER THE VOLUME OF PRODUCTION, THE LOWER THE RATE OF PROGRAM CHANGE, because:

  √ When speed and volume of production are emphasized, the interruptions that inevitably accompany innovation will be avoided.

  √ Evaluation typically occurs when an organization is concerned about the quality of its outputs; a quality standard provides a continuing impetus for change.

AMOUNT OF EFFICIENCY: THE IMPORTANCE OF RESOURCES (p. 26, 51-53)

* Efficiency is the measure of how much it costs an organization to provide a service or to make a product (e.g., schools compute cost per pupil).

* Although all organizations attempt to conserve their resources because they are scarce, some are much more concerned about their efficiency than others.

* The organization that is concerned about the quality of its product or service or the contentment of its employees is not likely to be so concerned about efficiency.

* THE GREATER THE EMPHASIS ON EFFICIENCY, THE LOWER THE RATE OF PROGRAM CHANGE, because:

  √ New programs usually represent not only additional costs, but sometimes unpredictable costs.

  √ The implementation of change can reduce efficiency for a period of time because of disruptions in routine that change implies.

  √ An organization that has a primary concern with the quality of its service is likely to introduce more new programs, but at a higher cost.

AMOUNT OF JOB SATISFACTION: THE IMPORTANCE OF MORALE (pp. 26-27, 53-55).

* Job satisfaction is a summary measure of many aspects associated with the job, including salary, pace of work, freedom of movement, hours, regulations, and so forth.

* THE HIGHER THE JOB SATISFACTION, THE GREATER THE RATE OF PROGRAM CHANGE, because:

  √ People who are satisfied with their jobs are more committed to the organization and, consequently, more receptive to new ideas for improving products and services.

  √ Research has indicated that, when working conditions are altered by allowing workers to participate in decisions about proposed changes, job satisfaction increases and innovations are more readily accepted.

  √ The necessity for having high morale during a period when a change is being implemented is frequently overlooked. Change creates strains because it affects organizational habits and customs, and morale and cohesion should receive special consideration during the change process.

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